

**U.S. Department of Education  
Office of Elementary and Secondary Education  
Academic Improvement and Teacher Quality Programs  
Washington, D.C. 20202-6200**

**Fiscal Year 2010**

**Application for New Grants Under  
the Gulf Coast Recovery Grant Initiative**

**CFDA 84.215C**



**Dated Material - Open Immediately**

**Closing Date: July 9, 2010**

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**If you have comments or concerns regarding the status of your individual submission of this form, write directly to:** April Bolton-Smith, Gulf Coast Recovery Grant Initiative, U.S. Department of Education, 400 Maryland Avenue, SW, Room 3E304, Washington, D.C. 20202-6200.

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**United States Department of Education**  
OFFICE OF ELEMENTARY AND SECONDARY EDUCATION  
ACADEMIC IMPROVEMENT AND TEACHER QUALITY PROGRAMS

Dear Colleague:

Thank you for your interest in the Gulf Coast Recovery Grant (GCRG) Initiative, administered by the Office of Elementary and Secondary Education of the U.S. Department of Education (Department). Congress has provided funding through the Consolidated Appropriations Act of 2010 (Pub. L. 111-117) to create GCRG, a grant competition to assist local educational agencies (LEAs) in Louisiana, Mississippi, and Texas in improving education in areas affected by Hurricanes Katrina, Ike, and Gustav.

Please take the time to review the applicable priority, selection criteria, application requirements, and all of the application instructions thoroughly. An application will not be evaluated for funding if the applicant does not comply with all of the procedural rules that govern the submission of the application or the application does not contain the information required under the competition (EDGAR §75.216 (b) and (c)).

For this competition it is **mandatory** for applicants to use the Department's Electronic Grant Application System (e-Application), accessible through the Department's e-Grants portal page at: <http://e-grants.ed.gov>. We strongly encourage you to familiarize yourself with e-Application and strongly recommend that you register *and* submit early.

Using FY 2010 funds, the Department expects to award \$12,000,000 for new grants under this competition. We will award discretionary grants on a competitive basis for a project period of up to 24 months. We expect to be award grants in late September.

Please visit our competition website at <http://www.ed.gov/programs/gulf/index.html> for further information. If you have any questions about the competition after reviewing the application package, please contact April Bolton-Smith by telephone at (202) 260-1475, or via e-mail at [gulfcoastrecovery@ed.gov](mailto:gulfcoastrecovery@ed.gov).

Joseph Conaty  
Director

## Competition Background Information

### **Overview and Purpose**

#### ***Background***

The Consolidated Appropriations Act of 2010 (Pub. L. 111-117) appropriated \$12 million for the Gulf Coast Recovery Grant (GCRG) Initiative, through which the U.S. Department of Education will make competitive grants to assist local educational agencies (LEAs) in Louisiana, Mississippi, and Texas in improving education in areas affected by Hurricanes Katrina, Ike, and Gustav.

Funds may be used for a variety of activities, including: replacing instructional materials and equipment; paying teacher incentives; modernizing, renovating, or repairing school buildings; beginning or expanding Advanced Placement or other rigorous courses; supporting the expansion of charter schools; and supporting after-school or extended learning time activities.

#### ***Eligibility***

Eligible applicants for the GCRG Initiative include LEAs located in counties in Louisiana, Mississippi, and Texas designated by the Federal Emergency Management Agency (FEMA) as counties eligible for individual assistance due to damage caused by Hurricanes Katrina, Ike, or Gustav.

An LEA is defined in Section 9101(26)(A) of the Elementary and Secondary Education Act as: “a public board of education or other public authority legally constituted within a State for either administrative control or direction of, or to perform a service function for, public elementary or secondary schools in a city, county, township, school district, or other political subdivision of a State, or for such combination of school districts or counties as are recognized in a State as an administrative agency for its public elementary or secondary schools.” This definition also includes U.S. Department of the Interior/Bureau of Indian Education-supported schools.

Lists, by State, of LEAs that qualify for the competition are posted on the Gulf Coast Recovery Web site at [www.ed.gov/programs/gulf/eligibility.html](http://www.ed.gov/programs/gulf/eligibility.html) for the convenience of the applicant. These lists are based on the most recent information provided by each State and the Bureau of Indian Education to the Department.

#### ***Application Deadline Date: July 9, 2010***

Applications must be submitted on or before the deadline date. Please note that the Department of Education (Department) grant application deadlines are 4:30:00 P.M. Washington, D.C. time. Late applications will not be accepted. *We strongly suggest that you submit your application several days before the deadline.* The Department is required to enforce the established deadline to ensure fairness to all applicants. No changes or additions to an application will be accepted after the deadline date and time.

#### ***Application Submission***

Applications must be submitted electronically using the Department’s e-Application system. See Section C, “Application Submission Procedures” for information on how to submit applications electronically.

***Project Period***

The project period for this grant is up to 24 months. Budgets should be developed for a single award with a project period of up to 24 months. No continuation awards will be provided. All funding will be awarded at the time of the initial grant. The project period start date should be October 1, 2010.

***Funding***

An eligible LEA may request up to \$500,000 per year for each school it intends to serve through the grant. To ensure that sufficient funds are available to support awards to LEAs of all sizes, and not only the largest LEAs, an applicant may not include more than three schools in a single application for a grant. We will reject any application that includes more than three schools in its proposal.

An eligible LEA may submit more than one application.

The following chart provides the maximum award amounts for applicants that propose to serve one, two, or three schools per grant with a one-year or two-year project period. We will reject any application that proposes a budget exceeding the maximum amounts specified:

Maximum Awards		
Number of schools served	Project Period	
	1 year	2 years
1	\$500,000	\$1,000,000
2	\$1,000,000	\$2,000,000
3	\$1,500,000	\$3,000,000

The actual size of awards will be based on a number of factors, including the scope, quality, and comprehensiveness of the proposed project. As such, we estimate that awards will range from \$150,000 to \$3,000,000 and that the average award will be \$1,500,000.

***Estimated Number of Awards***

We anticipate making between 6 and 10 grant awards.

***Selection Criteria and Competitive Preference Priority***

There are three selection criteria, with subparts, for this competition. The selection criteria can be found in Section D, part 4 (Project Narrative Attachment Form).

The competitive preference priority for this competition is as follows:

Five additional points will be awarded to an application that proposes to serve at least one school designated by the State as a “persistently lowest-achieving school” for purposes of using school improvement funds under section 1003(g) of Title I of the Elementary and Secondary Education Act of 1965, as amended (ESEA). A “persistently

lowest-achieving school” under section 1003(g) means a school, as defined by each State, that falls into one of the following groups:

- 1) Any Title I school in improvement, corrective action, or restructuring that (i) is among the lowest-achieving five percent of Title I schools in improvement, corrective action, or restructuring in the State (or the lowest-achieving five such schools, whichever number of schools is greater) or (ii) is a Title I high school that has had a graduation rate that is less than 60 percent over a number of years.
- 2) Any secondary school that is eligible for, but does not receive, Title I funds that (i) is among the lowest-achieving five percent of secondary schools in the State (or the lowest-achieving five secondary schools, whichever number of schools is greater) that are eligible for, but do not receive, Title I funds or (ii) is a high school that has had a graduation rate that is less than 60 percent over a number of years.

Each State’s definition and list of the “persistently lowest-achieving schools” can be found at: <http://www.ed.gov/programs/sif/summary/index.html>.

### ***Unique Applications***

Information submitted in response to the scoring criteria should be specific to the applicant’s district and schools, and should not be identical or substantially similar to other applications. Identical or substantially similar applications are not responsive to the scoring criteria, which are designed to support funding for projects that address the needs of individual LEAs and schools.

### ***E-mail Addresses***

As part of our review of your application, we may need to contact you with questions for clarification. Please be sure your application includes a valid e-mail address for the Project Director and Authorized Representative.

### ***Review of Applications and Notification of Awards***

The review of applications and notification of awards for this competition requires approximately ten weeks. We expect to notify successful applicants by late September 2010. Unsuccessful applicants will be notified within 60 days of the award start date.

### ***Procurement Practices***

Applicants that intend to use procurement transactions in implementing proposed projects should be familiar with the requirements in the Education Department General Administrative Regulations (EDGAR) that establish minimum standards for procurement activities (34 C.F.R. § 80.36).

As a general matter, 34 C.F.R. § 80.36 governs competition in procurement transactions by grantees, including a requirement that all procurement transactions be conducted in a manner “providing full and open competition” consistent with the standards in that regulation (34 C.F.R. § 80.36(c)). Although grantees use “their own procurement procedures which reflect State and local laws and regulations” to the extent those procedures are consistent with the Federal requirements, all GCRG grantees must follow the minimum requirements in 34 C.F.R. § 80.36. (See 34 C.F.R. 80.36(b)(1))

The requirements in 34 C.F.R. § 80.36 are designed to protect the competitive procurement process from undue influence, and have been in effect for many years. According to 34 C.F.R. § 80.36(c), all transactions must be conducted in a manner “providing full and open competition” consistent with the standards in the regulation. Several situations are listed in 34 C.F.R. § 80.36(c)(1) that would be considered to be restrictive of competition, although it is important to understand that the list is not exhaustive. Examples include:

1. Placing unreasonable requirements on firms in order for them to qualify to do business;
2. Requiring unnecessary experience and excessive bonding;
3. Organizational conflicts of interest; and
4. Specifying only a “brand name” product instead of allowing “an equal” product to be offered.

If a vendor has already assisted the LEA in preparing an application for a grant, and subsequently is interested in providing contract services after the LEA receives the grant award, a close examination of all activities is warranted to ensure that the vendor did not act as an agent of the grantee, that the vendor does not have an organizational conflict of interest in the procurement, and that the requirements for full and open competition have not been violated.

Please note that the requirements regarding full and open competition could be violated even if a vendor’s participation in the application process was limited and the vendor was not acting as an agent of the grantee. For example, a vendor that provides specifications that are then included in a grant application could have a competitive advantage over other vendors. Grantees should carefully examine all interactions with vendors to ensure that these interactions do not violate the requirement concerning full and open competition.

The grantee is responsible for complying with the procurement requirements in 34 C.F.R. § 80.36, which take precedence over State and local procedures in those cases where the minimum requirements in section 80.36 provide greater protection of the procurement process.

Because grantees must use appropriate procurement procedures to select contractors, **an applicant should not include the names of specific contractors or vendors in its grant application.** An applicant may include information about the scope of work to be completed by outside contractors and the contractor qualifications; however, it should not pre-identify a specific contractor or enter into an agreement with any contractor(s) until after the grant has been awarded.

### ***Competition Contact***

All questions regarding the FY 2010 GCRG competition should be directed to April Bolton-Smith at: [gulfcoastrecovery@ed.gov](mailto:gulfcoastrecovery@ed.gov), or at 202-260-1475. Applicants are asked to review the application, the *Federal Register* Notice Inviting Applications, and the Frequently Asked Questions in their entirety prior to forwarding questions pertaining to the competition.



## **Frequently Asked Questions**

### **General Grant Information**

1. What is the purpose of the Gulf Coast Recovery Grants (GCRG) Initiative?  
The purpose of the initiative is to assist local educational agencies (LEAs) in Louisiana, Mississippi, and Texas in improving education in areas affected by Hurricanes Katrina, Ike, or Gustav.
2. How are the funds awarded?  
The awards will be awarded through a competitive process.
3. How will applicants be selected?  
Applicants will be evaluated based on their responses to the selection criteria and the competitive preference priority, described in the *Federal Register* notice. Applications will be evaluated by a technical review panel and scored accordingly. The Department will then select applications for funding, based on a rank ordering of the applications and other relevant information, such as the applicant's performance under previous grant awards from the Department.
4. What is the competitive preference priority?  
Five additional points will be awarded to LEAs that propose to serve at least one school designated by the State as a "persistently lowest-achieving school" for purposes of using school improvement funds under section 1003(g) of Title I of the Elementary and Secondary Education Act of 1965, as amended (ESEA). A "persistently lowest-achieving school" under section 1003(g) means a school, as defined by each State, that falls into one of the following groups: 1) Any Title I school in improvement, corrective action, or restructuring that (i) is among the lowest-achieving five percent of Title I schools in improvement, corrective action, or restructuring in the State (or the lowest-achieving five such schools, whichever number of schools is greater) or (ii) is a Title I high school that has had a graduation rate that is less than 60 percent over a number of years; or 2) Any secondary school that is eligible for, but does not receive, Title I funds that (i) is among the lowest-achieving five percent of secondary schools in the State (or the lowest-achieving five secondary schools, whichever number of schools is greater) that are eligible for, but do not receive, Title I funds or (ii) is a high school that has had a graduation rate that is less than 60 percent over a number of years.  
  
Each State's definition and list of "persistently lowest-achieving schools" can be found at: <http://www.ed.gov/programs/sif/summary/index.html>.
5. The approved State application includes a list of schools with different classifications. Which schools on the list are eligible for the additional 5 competitive preference priority points?  
All schools on the list are eligible for the additional 5 competitive preference priority points *except those schools identified as "Tier III" or "Newly Eligible."*
6. Who will award the competitive priority points?  
The GCRG program staff will award the competitive preference priority points.

7. Will an applicant receive more competitive priority points if it includes more than one “persistently lowest-achieving school” in its application?  
No. Applicants will be awarded 5 points regardless of whether they propose to serve 1, 2, or 3 “persistently lowest-achieving schools.” As long as one “persistently lowest-achieving” school is included, the full 5 points will be awarded. NOTE: In order to receive the 5 points, it is very important that applicants clearly list the school(s) that will be served by the project in the project abstract.
8. What should an applicant consider if it wants to include a “persistently lowest-achieving school” in its application?  
Some schools identified as “persistently lowest-achieving” will receive School Improvement Grant (SIG) funding and will be required to adopt one of four school intervention models (turnaround, restart, school closure, or transformation). If an applicant proposes to serve a school that it anticipates will receive SIG funds, it should ensure that the project services are consistent with the school intervention model selected. So, for example, if an applicant wishes to include a school it anticipates will receive SIG funding, it should consider the fact that the school will be required to undergo major changes that may impact staffing, administration, and possible closure. Additionally, the school will receive a large amount of funding under SIG – up to \$2 million per year for three years. The applicant should carefully consider these factors in its GCRG proposal. It should not propose services that cannot be implemented because they are inconsistent with the SIG reform models. For more information on the reform models and SIG requirements, see the SIG Web site at: [www.ed.gov/programs/sif](http://www.ed.gov/programs/sif).
9. Is there a matching requirement?  
No, there is no matching requirement for this program. However, if an LEA intends to provide a match, such information must be included in the budget narrative and in any future reporting documents.

## **Eligibility**

10. Who is eligible to apply for funds?  
LEAs located in counties in Louisiana, Mississippi, and Texas designated by the Federal Emergency Management Agency (FEMA) as counties eligible for individual assistance due to damage caused by Hurricanes Katrina, Ike, or Gustav are eligible to apply.

An LEA is defined in Section 9101(26)(A) of the Elementary and Secondary Education Act as: “a public board of education or other public authority legally constituted within a State for either administrative control or direction of, or to perform a service function for, public elementary or secondary schools in a city, county, township, school district, or other political subdivision of a State, or for such combination of school districts or counties as are recognized in a State as an administrative agency for its public elementary or secondary schools.” This definition also includes U.S. Department of the Interior/Bureau of Indian Education-supported schools.

Lists, by State, of LEAs that qualify for the competition are posted on the Gulf Coast Recovery Web site for the convenience of the applicant at:

<http://www.ed.gov/programs/gulf/eligibility.html>. These lists are based on the most recent information provided by each State and the Bureau of Indian Education (BIE) to the Department.

11. What happens if the LEA is located in a county that was designated by FEMA as a county eligible for individual assistance, but one or more of the schools the LEA serves is not – is the LEA eligible to apply? May it serve all the schools in its district, or just the schools located in the eligible counties?

The appropriations language states that GCRG funds shall be for awards to LEAs “located in counties ... eligible for individual assistance.” We interpret, “located in” to mean “operating in,” so that the physical location of the LEA’s administrative office is secondary to the issue of where the school to be served is located. Wherever the LEA is operating a school, it is “located” there. So, if an LEA is operating schools that are located in one of the eligible counties, the LEA is eligible to receive funds to serve those schools located in the eligible counties.

12. What can an LEA do if it believes it is eligible, but it doesn’t see its name on the Department’s list?

The LEA should contact the GCRG staff at: [gulfcoastrecovery@ed.gov](mailto:gulfcoastrecovery@ed.gov). Although the lists attempt to identify all eligible applicants, it is possible the lists are not exhaustive. Therefore, the LEA should contact the GCRG staff as soon as it can, if it believes it is eligible to apply, but is not on the list.

13. May a public charter school apply for funds?

Yes. A public charter school may apply for a grant if it is recognized by its State as an LEA. If a public charter school is not recognized as an independent LEA by its State, it cannot apply directly for a grant, but it may be included in an application that its LEA submits for funding. The eligible applicant list located on the Gulf Coast Recovery Web site includes charter schools that are recognized by their States as LEAs.

14. May a BIE school apply for funds?

Yes, schools operated by, or under grant or contract with, the BIE are eligible to apply for these funds. The eligible applicant list located on the GCRG Web site includes BIE schools that are eligible to apply.

15. Are Intermediate Education Units eligible to apply?

Yes. An Intermediate Education Unit may apply for a grant if it is recognized by its State as an LEA.

16. Is there a limit on how many applications an LEA can submit?

No. An LEA may submit multiple applications for this competition. However, it may not submit multiple applications that include the same school.

17. Is there a limit to the number of schools that can be included in an application?

Yes. An LEA must not include more than three schools in its application.

## Application Facts

18. When is the application due?

The application will be due on July 9, 2010, as published in the *Federal Register* notice.

19. Is there a page limit?

Yes. Applications are limited to 20 pages in the narrative. The project abstract, budget narrative, and appendices do not count towards the 20 page limit.

20. How do I submit my application?

Applications must be submitted electronically using the Electronic Grant Application System (e-Application), accessible through the Department's e-Grants site at: <http://e-grants.ed.gov>, unless you have been approved for an exemption as described in the Notice Inviting Applications. While completing your electronic application, you will be entering data online that will be saved into a database. You may not mail or e-mail an electronic copy of a grant application to us.

21. Where can I find or request a DUNS number?

The Data Universal Number System (DUNS) number is a unique nine-character number that identifies your organization. It is a tool the federal government uses to track how federal money is distributed. Most large organizations, libraries, colleges and research universities already have DUNS numbers. Ask your grant administrator, chief financial officer, or business office to provide your organization's DUNS number. If you do not have a DUNS number, you can request one by calling (866) 705-5711, or visiting the Internet at [www.dnb.com/](http://www.dnb.com/). If requested over the phone, DUNS is provided immediately; webform requests take 1 to 2 business days. DUNS Number assignment is free for all businesses required to register with the U.S. Federal government for contracts or grants.

22. Must I notify the Department of my intent to apply?

Applicants are strongly encouraged to notify the Department of its intent to apply, as it assists the Department in adequately preparing for the grant review. To submit a notice of intent to apply, the applicant merely needs to send an email to [gulfcoastrecovery@ed.gov](mailto:gulfcoastrecovery@ed.gov), with a brief statement that it intends to submit an application for the competition, along with the number of applications it plans to submit. However, it is not required and applicants will not be prohibited from applying if they declined to submit a notice of intent to apply.

23. Do the project director and other key personnel need to be named in the initial grant application?

No, the project director and other key personnel do not have to be named at the time the application is written. However, the qualification, expectations, and responsibilities for each position should be described in the grant application.

24. May I include information in the application about the contractors we want to use?

No. Because grantees must use appropriate procurement procedures to select contractors, *applicants should not include information in their grant applications about specific vendors, nor the names of specific contractors*, that may be used to provide services for the proposed project. Applicants may include information about the scope of work to be completed by outside contractors and contractor qualifications, however they should not pre-identify a

specific contractor or enter into an agreement with any contractor(s) until after the grant has been awarded.

## Budget Information

25. How much funding is available for this initiative?

Congress appropriated \$12 million for this effort under the Fund for the Improvement of Education in the Consolidated Appropriations Act of 2010 (Pub. L. 111-117).

26. What is the expected project period of the grant awards?

Up to 24 months.

27. How will funds be awarded?

Funds for the full project period will be awarded at the time of the initial award.

28. What is the average range of awards?

Because the activities that are allowed under this program vary dramatically in type and cost, and the number of schools that may be included in an application range from one to three, the estimated range of awards is quite large. The Department estimates that total awards could range from \$150,000 to \$3,000,000.

29. Is there a maximum award amount?

Yes. Given the limited amount of funding for this initiative, applicants may request up to \$500,000 per year for each school it intends to serve through the grant. To ensure that sufficient funds are available to support awards to LEAs of all sizes, and not only the largest LEAs, an applicant may not include more than 3 schools in a single application for a grant.

The following chart provides the maximum award amounts for applications that propose to serve 1, 2, and 3 schools per grant with a 1-year project period and a 2-year project period:

Maximum Awards		
Number of schools served	Project Period	
	1 year	2 years
1	\$500,000	\$1,000,000
2	\$1,000,000	\$2,000,000
3	\$1,500,000	\$3,000,000

Please note that these award amounts are *maximum amounts*. We anticipate that many applicants will propose projects that cost much less than these maximum amounts. The actual size of awards will be based on a number of factors, including the scope, quality, and comprehensiveness of the proposed projects. However, applications that request more funds than the maximum amounts specified for the total grant will not be read and will be excluded from the competition.

30. What level of detail is required for the budget narrative?

The budget narrative should provide a detailed explanation of all proposed expenditures for the project. These expenditures should be carefully linked to the goals, objectives, and activities described in the project narrative portion of the application. ED staff will review all information related to the proposed expenditures and determine whether or not the expenditures are allowable (either permitted or not specifically prohibited); allocable (can be directly allocated to your project); and reasonable (costs that would be incurred by a "prudent person"). Any costs not fully described or justified can be deleted from your funding request during the budget review conducted by GCRG staff.

**Allowable Program Costs**

31. What types of activities are allowed under the program?

Grant funds may be used for a variety of activities aimed at improving education, including, but not limited to, replacing instructional materials and equipment; paying teacher incentives; modernizing, renovating, or repairing school buildings; beginning or expanding Advanced Placement or other rigorous courses; supporting the expansion of charter schools; and supporting after-school or extended learning time activities.

32. Is construction allowable under the grant?

No. Construction is not an allowable use of GCRG funds. However, GCRG funds may be used for modernization, renovation, and repair.

33. How is construction defined for this competition?

For the purposes of this competition, construction is considered new buildings or additions to existing buildings and other structures that establish or increase the square footage, height, or building footprint of any structure. Additionally, landscaping is not an allowable use of this competition's grant funds.

34. Is there a restricted indirect cost rate for this competition?

No. You may use your LEA's approved negotiated indirect cost rate to charge indirect costs to the grant.

35. Where can I find my LEA's indirect cost rate?

The LEA's indirect cost rate is negotiated with the LEA's cognizant agency, which is most often the State educational agency (SEA). The SEA should have the negotiated indirect cost rate agreement on file, and your LEA's business office should have the negotiated indirect cost rate agreement on file.

## Application Submission Procedures

**The deadline for submission of Gulf Coast Recovery Grant Initiative applications through e-Application is July 9, 2010.**

### *Application Transmittal Instructions*

Attention Electronic Applicants: This competition **requires** the electronic submission of applications--specific requirements and instructions can be found in the Federal Register notice. Please note that you **must** follow the Application Procedures as described in the Federal Register notice announcing the grant competition.

We will reject your application if you submit it in paper format unless, as described in the Federal Register notice for this competition, you qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions.

### Applications Submitted Electronically

Applications for grants under this competition must be submitted electronically using the Electronic Grant Application System (e-Application) accessible through the Department's e-Grants site at <http://e-grants.ed.gov>.

While completing your electronic application, you will be entering data online that will be saved into a database. You may **not** e-mail an electronic copy of a grant application to us.

You should review and follow the ***e-Application Submission Procedures and Tips for Applicants*** in this application package to ensure that you submit your application in a timely manner to the e-Application system.

### **Please note the following:**

- You must complete the electronic submission of your grant application by 4:30:00 p.m., Washington, DC time, on the application deadline date. The e-Application system will not accept an application for this competition after 4:30:00 p.m., Washington, DC time, on the application deadline date. Therefore, we strongly recommend that you do not wait until the application deadline date to begin the application process.
- If you are experiencing problems submitting your application through e-Application, please contact the e-Grants help desk, toll free, at 1-888-336-8930.
- The hours of operation of the e-Grants Web site are 6:00 a.m. Monday until 7:00 p.m. Wednesday; and 6:00 a.m. Thursday until 8:00 p.m. Sunday, Washington, DC time. Please note that, because of maintenance, the system is unavailable between 8:00 p.m. on Sundays and 6:00 a.m. on Mondays, and between 7:00 p.m. on Wednesdays and 6:00 a.m. on Thursdays, Washington, DC time. Any modifications to these hours are posted on the e-Grants Web site.
- You will not receive additional point value because you submit your application in electronic format, nor will we penalize you if you qualify for an exception to the electronic submission requirement, as described elsewhere in this section, and submit your application in paper format.

- You must submit all documents electronically, including all information you typically provide on the following forms: the Application for Federal Assistance (SF 424), the Department of Education Supplemental Information for SF 424, Budget Information--Non-Construction Programs (ED 524), and all necessary assurances and certifications.
- Ensure that you only attach the Education approved file types detailed in the Federal Register application notice (.doc, .pdf or .rtf). If using Word 2007, save your file to an earlier version of Word before uploading. Also, do not upload any password-protected files to your application.
- Your electronic application must comply with any page limit requirements described in the *Federal Register* notice.
- Prior to submitting your electronic application, you may wish to print a copy of it for your records.
- After you electronically submit your application, you will receive an automatic acknowledgment that will include a PR/Award number (an identifying number unique to your application).
- Within three working days after submitting your electronic application, fax a signed copy of the SF 424 to the Application Control Center after following these steps:
  - 1) Print SF 424 from e-Application.
  - 2) The applicant's Authorizing Representative must sign this form.
  - 3) Place the PR/Award number in the upper right hand corner of the hard-copy signature page of the SF 424.
  - 4) Fax the signed SF 424 to the Application Control Center at (202) 245-6272.
- We may request that you provide us original signatures on other forms at a later date.

#### **Application Deadline Date Extension in Case of e-Application System Unavailability**

If you are prevented from electronically submitting your application on the application deadline date because the e-Application system is unavailable, we will grant you an extension of one business day in order to transmit your application electronically, by mail, or by hand delivery.

We will grant this extension if—

- 1) You are a registered user of e-Application and you have initiated an electronic application for this competition; and
- 2) (a) The e-Application system is unavailable for 60 minutes or more between the hours of 8:30 a.m. and 3:30 p.m., Washington, DC time, on the application deadline date; or  
(b) The e-Application system is unavailable for any period of time between 3:30 p.m. and 4:30 p.m., Washington, DC time, on the application deadline date.

We must acknowledge and confirm these periods of unavailability before granting you an extension. To request this extension or to confirm our acknowledgement of any system unavailability, you may contact either (1) the person listed in the Federal Register Notice under For Further Information Contact (see VII. Agency Contact) or (2) the e-Grants help desk at 1-888-336-8930. If the system is down and therefore the application deadline is extended, an e-mail will be sent to all registered users who have initiated an e-Application. Extensions referred to in this section apply only to the unavailability of the Department's e-Application system.

#### **Exception to the Electronic Submission Requirement**

According to the instructions found in the Federal Register notice, only those requesting and qualifying for an Exception to the electronic submission requirement may submit an application



via mail, commercial carrier or by hand delivery.

**Submission of Paper Applications by Mail:**

If you qualify for an exception to the electronic submission requirement, you may mail (through the U.S. Postal Service or a commercial carrier) your application to the Department. You must mail the original and two copies of your application, on or before the application deadline date, to the Department at the following address:

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.215C)  
LBJ Basement Level 1  
400 Maryland Avenue, SW.  
Washington, DC 20202-4260

You must show proof of mailing consisting of one of the following:

- (1) A legibly dated U.S. Postal Service postmark.
- (2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service.
- (3) A dated shipping label, invoice, or receipt from a commercial carrier.
- (4) Any other proof of mailing acceptable to the Secretary of the U.S. Department of Education.

If you mail your application through the U.S. Postal Service, we do not accept either of the following as proof of mailing:

- (1) A private metered postmark.
- (2) A mail receipt that is not dated by the U.S. Postal Service.

If your application is postmarked after the application deadline date, we will not consider your application.

Note: The U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, you should check with your local post office.

**Submission of Paper Applications by Hand Delivery:**

If you qualify for an exception to the electronic submission requirement, you (or a courier service) may deliver your paper application to the Department by hand. You must deliver the original and two copies of your application by hand, on or before the application deadline date, to the Department at the following address:

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.215C)  
550 12th Street, SW.  
Washington, DC 20202-4260

The Application Control Center accepts hand deliveries daily between 8:00 a.m. and 4:30:00 p.m., Washington, DC time, except Saturdays, Sundays, and Federal holidays.

**Note for Mail or Hand Delivery of Paper Applications:**

If you mail or hand deliver your application to the Department--

- (1) You must indicate on the envelope and--if not provided by the Department--in Item 11 of the SF 424 the CFDA number, including suffix letter, if any, of the competition under which you are submitting your application; and
- (2) The Application Control Center will mail to you a notification of receipt of your grant application. If you do not receive this notification within 15 business days from the application deadline date, you should call the U.S. Department of Education Application Control Center at (202) 245-6288.

***e-Application Submission Procedures and Tips for Applicants***

<http://e-grants.ed.gov>

To facilitate your use of e-Application, this document includes important application preparation and submission procedures you need to be aware of to ensure your application is received in a timely manner and accepted by the Department of Education. Please read and follow these step-by-step directions to create and submit your application.

**ATTENTION**

Applicants using the Department of Education's e-Application system will need to register first to access an application package. Forms in an application package are completed on line and narratives are uploaded while logged into the system. Therefore, allow sufficient time to complete your application before the closing date. If you have not used e-Application in the past, you may want to walk through the Demo available on the e-Application homepage. If you encounter difficulties, you may also contact the e-Grants help desk on 1-888-336-8930. The following are steps you should follow to successfully complete an application with e-Application.

Step 1 – Electronic submission is **required** for this competition. **Familiarize** yourself with the application requirements published in the Federal Register Notice. A copy of the Federal Register Notice is included in this application package. In addition, you may view the Department's Federal Register notices online at:

<http://www.ed.gov/news/fedregister/announce/index.html>.

Step 2 – **Register in e-Application** to access the application package. If you are a new user, you will need to register to use e-Application. From the e-Grants Portal Page <http://e-grants.ed.gov/>, click on the continue button and click the register button on the right side of the next page. Select the e-Application module and click the next button. Please provide the requested information. Your e-Grants password will be sent to the e-mail address you provide. Once you receive the e-mail, enter your username and password and click the login button.

If you already have a username and password for e-Grants, use them to login. If you have access to more than one e-Grants module, you will be directed to select which module you wish to enter. Keep in mind that this username and password will be used for all e-Grants modules. In order to update your registration for additional e-Grants modules, click the appropriate tab on the top of the screen and provide the requested information.

Note the following browser compatibility problems. The site is viewed best in Internet Explorer 5. We currently support IE 5, Netscape 6.2, Firefox 2.2 (along with later versions of IE, Netscape and Firefox). Please make sure that you have **Cookies** and **JavaScript** enabled in your browser.

**Step 3 - Add Application Package to your Start Page.** From your Start Page, click on the "Add" button to see the list of application packages. Click on a specific package link on the List of Application Packages to apply. The package will now appear on your Start Page. From this point forward, you will access your unique application from your Start Page (not the Packages Page).

**Step 4 - Begin the Application.** Click on the underlined Application Package Title on your Start Page. This brings you to a page where you will see all of the application's forms and narratives listed as underlined links.

**Step 5 - Fill out Forms.** Enter a form by clicking on the underlined form title in order to enter data. Remember to click the "Save" button at the bottom of the form and check the "Form Completed" box for each form as you complete it.

**Step 6 - Upload File(s) for Narrative Responses.** Click on an underlined narrative form title for the e-Application. Enter the title of the document, and click on the "Browse" button to locate your file. Remember to click the "Save" button after you upload the document and check the "Form Completed" box when you finish uploading your file(s). Please note for file uploads, we accept .doc, .rtf, and .pdf files only. If you are using Word 2007, please save your document in a lower version of Word before uploading into e-Application.

**Step 7 - Verify Information/Print Application.** Verify your information is complete and correct on all required forms and narratives. You have the option to print each form at any time by clicking on the print/view icon next to the appropriate form. After submission of the forms and narratives, you have the option to print a complete e-Application package in PDF by clicking on the "Request Complete Package in PDF" on the e-Application PR/Award page. A second window will open informing you that your request has been received and that you will be notified via e-mail once it is available. This process can take anywhere from a few minutes to a few hours. Once you receive the e-mail, click on the link in the text of the message and enter your username and password in the new window. This will open the PDF file from which you can view/print the entire package. In addition, a blank complete package in PDF will be accessible from the package page in e-Application.

**Step 8 - Submit your Application.** Only authorized individuals for your organization can submit an application. Please check with your Authorizing Representative or sponsored research office before submission. Click on the "Ready to submit" button at the bottom of your application. Enter and verify the Authorizing Representative information. Click the "Submit" button. You will receive an e-mail to confirm that your application was received, and it will include a unique application number. Please print and keep this e-mail for your records. [Reminder: applications must be submitted before 4:30:00 p.m., Washington, DC time, on the deadline date for applications. e-Application will not accept your application if you try to submit it after 4:30:00 on the deadline date.]

Step 9 - **Fax the signed SF 424 Cover Page.** Write your unique application number (received in step 8) on the upper right corner of your printed SF 424 Cover Page and fax it to the Application Control Center (202) 245-6272 within 3 business days of submitting your e-Application.

NOTE: For more detailed information on submitting an e-Application, please see the **User Guide**. In addition, please try practicing with our e-Application Demo site by clicking on the Demo button found on the upper left corner of the e-Application Home Page. Both the User Guide and Demo can be found at <http://e-grants.ed.gov>.

### ***Other Submission Tips***

- 1) **SUBMIT EARLY - We strongly recommend that you do not wait until the last day to submit your application.** The time it takes to upload the narratives for your application will vary depending on a number of factors including the size of the files and the speed of your Internet connection. If you try to submit your application after 4:30:00 p.m., Washington, DC time on the deadline date, the e-Application system will not accept it.
- 2) Electronic submission is required and you must submit an electronic application before 4:30:00 p.m., unless you follow the procedures in the Federal Register notice and qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions. (See the Federal Register notice for detailed instructions.)
- 3) Dial-Up Internet Connections - When using a dial-up connection to upload and submit your application, it can take significantly longer than when you are connected to the Internet with a high-speed connection, e.g. cable modem/DSL/T1. While times will vary depending upon the size of your application, it can take a few minutes to a few hours to complete your grant submission using a dial-up connection. If you do not have access to a high-speed connection and electronic submission is required, you may want to consider following the instructions in the Federal Register notice to obtain an exception to the electronic submission requirement no later than two weeks before the application deadline date. (See the Federal Register notice for detailed instructions.)

### ***Attaching Files – Additional Tips***

Please note the following tips related to attaching files to your application:

1. Ensure that you only attach the Education approved file types detailed in the Federal Register application notice (.doc, .pdf or .rtf). If using Word 2007, save your file to an earlier version of Word before uploading. Also, do not upload any password-protected files to your application.
2. When attaching files, applicants should limit the size of their file names. Lengthy file names could result in difficulties with opening and processing your application. We recommend you keep your file names to less than 50 characters. In addition, applicants

should avoid including special characters in their file names (for example, %, \*, /, etc.) Both of these conditions (lengthy file names and/or special characters including in the file names) could result in difficulties opening and processing a submitted application.

3. Applicants should limit the size of their file attachments. Documents submitted that contain graphics and/or scanned material often greatly increase the size of the file attachments and can result in difficulties opening the files. Please note that each file attachment in e-Application has a file size limitation, which is anywhere from 2 to 8 MB, and the limitation will be indicated on the individual screen when you upload a file. For reference, however, the average discretionary grant application package totals 1 to 2 MB. Therefore, you may want to check the size of your attachments before uploading them into e-Application.

## **Electronic Application Format**

In accordance with EDGAR §75.216 (b) and (c), an application will not be evaluated for funding if the applicant does not comply with all of the procedural rules that govern the submission of the application or the application does not contain the information required under the competition.

It is recommended that your electronic application be organized in the following manner and include the following parts in order to expedite the review process. Instructions for all parts and forms of the application are found either on the following pages of the application package or individually for each form on <http://e-grants.ed.gov>.

We strongly recommend that you review these details on <http://e-grants.ed.gov> before completing and submitting your application. In addition, applicants should submit their application a day or two in advance of the closing date as detailed below.

Note: Please do not attach any narratives, supporting files, or application components to any forms unless it is specifically required by the instructions for the individual section of the application.

## **Electronic Application Submission Checklist**

*Review your electronic application to ensure you have completed the following forms and sections:*

### **Part 1: Preliminary Documents**

- ☐ Application for Federal Assistance (form SF 424)
- ☐ ED Supplemental Information for SF 424

### **Part 2: Budget Information**

- ☐ ED Budget Information Non-Construction Programs (ED Form 524)

### **Part 3: ED Abstract Form**

- ☐ Project Abstract

### **Part 4: Project Narrative Attachment Form**

- ☐ Application Narrative

### **Part 5: Budget Narrative Attachment Form**

- ☐ Budget Narrative

### **Part 6: Other Attachments Forms**

- ☐ Resumes for Project Directors & Key Personnel

### **Part 7: Assurances and Certifications**

- ☐ Assurances – Non-Construction Programs (SF 424B Form)
- ☐ Disclosure of Lobbying Activities (Standard Form LLL) (if applicable)
- ☐ Certification Regarding Lobbying (ED 80-0013 Form)
- ☐ General Education Provisions Act (GEPA) Requirements – Section 427 (ED GEPA 427 Form)

### **Part 8: Intergovernmental Review (Executive Order 12372)**

- ☐ State Single Point of Contact (SPOC)

## **Part 1: Preliminary Documents**

- ☐ Application for Federal Assistance (Form SF 424)
- ☐ ED Supplemental Information for SF 424

These forms require basic identifying information about the applicant and the application. Please provide all requested applicant information (including name, address, e-mail address and DUNS number).

For the item 12 (**Funding Opportunity Number**) on page 2 of the SF 424, please use the following number: ED-GRANTS-052710-001

Note: Please do not attach any narratives, supporting files, or application components to the Standard Form (SF 424). Although this form accepts attachments, the Department of Education will only review materials/files attached in accordance with the instructions provided within this application.



## Instructions for the SF-424

Public reporting burden for this collection of information is estimated to average 60 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

This is a standard form required for use as a cover sheet for submission of pre-applications and applications and related information under discretionary programs. Some of the items are required and some are optional at the discretion of the applicant or the federal agency (agency). Required fields on the form are identified with an asterisk (\*) and are also specified as "Required" in the instructions below. In addition to these instructions, applicants must consult agency instructions to determine other specific requirements.

Item	Entry:	Item	Entry:
1.	<b>Type of Submission:</b> (Required): Select one type of submission in accordance with agency instructions. <ul style="list-style-type: none"> <li>• Preapplication</li> <li>• Application</li> <li>• Changed/Corrected Application –Check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this to submit changes after the closing date.</li> </ul>	10.	<b>Name Of Federal Agency:</b> (Required) Enter the name of the federal agency from which assistance is being requested with this application.
2.	<b>Type of Application:</b> (Required) Select one type of application in accordance with agency instructions. <ul style="list-style-type: none"> <li>• New – An application that is being submitted to an agency for the first time.</li> <li>• Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals.</li> <li>• Revision - Any change in the Federal Government's financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. If "Other" is selected, please specify in text box provided. <ul style="list-style-type: none"> <li>A. Increase Award      B. Decrease Award</li> <li>C. Increase Duration    D. Decrease Duration</li> <li>E. Other (specify)</li> </ul> </li> </ul>	11.	<b>Catalog Of Federal Domestic Assistance Number/Title:</b> Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable.
3.	<b>Date Received:</b> Leave this field blank. This date will be assigned by the Federal agency.	12.	<b>Funding Opportunity Number/Title:</b> (Required) Enter the Funding Opportunity Number and title of the opportunity under which assistance is requested, as found in the program announcement. The FON can also be found at <a href="http://www.grants.gov/applicants/find_grant_opportunities.jsp">http://www.grants.gov/applicants/find_grant_opportunities.jsp</a> .
4.	<b>Applicant Identifier:</b> Enter the entity identifier assigned by the Federal agency, if any, or applicant's control number, if applicable.	13.	<b>Competition Identification Number/Title:</b> Enter the competition Identification Number and title of the competition under which assistance is requested, if applicable.
5a.	<b>Federal Entity Identifier:</b> Enter the number assigned to your organization by the Federal Agency, if any.	14.	<b>Areas Affected By Project:</b> This data element is intended for use only by programs for which the area(s) affected are likely to be different than the place(s) of performance reported on the SF-424 Project/Performance Site Location(s) Form. Add attachment to enter additional areas, if needed.
5b.	<b>Federal Award Identifier:</b> For new applications, enter NA. For a continuation or revision to an existing award, enter the previously assigned Federal award identifier number. If a changed/corrected application, enter the Federal Identifier in accordance with agency instructions.	15.	<b>Descriptive Title of Applicant's Project:</b> (Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For preapplications, attach a summary description of the project.
6.	<b>Date Received by State:</b> Leave this field blank. This date will be assigned by the state, if applicable.	16.	<b>Congressional Districts Of:</b> 16a. (Required) Enter the applicant's congressional district. 16b. Enter all district(s) affected by the program or project. Enter in the format: 2 characters state abbreviation – 3 characters district number, e.g., CA-005 for California 5th <sup>th</sup> district, CA-012 for California 12 <sup>th</sup> district, NC-103 for North Carolina's 103 <sup>rd</sup> district. If all congressional districts in a state are affected, enter "all" for the district number, e.g., MD-all for all congressional districts in Maryland. If nationwide, i.e. all districts within all states are affected, enter US-all. If the program/project is outside the US, enter 00-000. This optional data element is intended for use only by programs for which the area(s) affected are likely to be different than the place(s) of performance reported on the SF-424 Project/Performance Site Location(s) Form. Attach an additional list of program/project congressional districts, if needed.
7.	<b>State Application Identifier:</b> Leave this field blank. This identifier will be assigned by the state, if applicable.	17.	<b>Proposed Project Start and End Dates:</b> (Required) Enter the proposed start date and end date of the project.
8.	<b>Applicant Information:</b> Enter the following in accordance with agency instructions: <ul style="list-style-type: none"> <li><b>a. Legal Name:</b> (Required): Enter the legal name of applicant that will undertake the assistance activity. This is the name that the organization has registered with the Central Contractor Registry. Information on registering with CCR may be obtained by visiting <a href="http://www.Grants.gov">www.Grants.gov</a>.</li> <li><b>b. Employer/Taxpayer Number (EIN/TIN):</b> (Required): Enter the employer or taxpayer Identification Number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444.</li> <li><b>c. Organizational DUNS:</b> (Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting <a href="http://www.Grants.gov">www.Grants.gov</a>.</li> </ul>	18.	<b>Estimated Funding:</b> (Required) Enter the amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in

	<b>d. Address:</b> Enter address: Street 1 (Required), city (Required), County/Parish, State (Required, if country is US), Province, Country (Required), 9-digit zip/postal code (Required, if country is US).		parentheses.																								
	<b>e. Organizational Unit:</b> Enter the name of the primary organizational unit, department or division that will undertake the assistance activity.	19.	<b>Is Application Subject to Review by State Under Executive Order 12372 Process?</b> (Required) Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. Select the appropriate box. If "a." is selected, enter the date the application was submitted to the State																								
	<b>f. Name and contact information of person to be contacted on matters involving this application:</b> Enter the first and last name (Required); prefix, middle name, suffix, title. Enter organizational affiliation if affiliated with an organization other than that in 7.a. Telephone number and email (Required); fax number.	20.	<b>Is the Applicant Delinquent on any Federal Debt?</b> (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of federal debt include; but may not be limited to: delinquent audit disallowances, loans and taxes.  If yes, include an explanation in an attachment.																								
9.	Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions. <table border="1" data-bbox="151 724 849 1281"> <tr> <td>A. State Government</td> <td>M. Nonprofit</td> </tr> <tr> <td>B. County Government</td> <td>N. Private Institution of Higher Education</td> </tr> <tr> <td>C. City or Township Government</td> <td>O. Individual</td> </tr> <tr> <td>D. Special District Government</td> <td>P. For-Profit Organization (Other than Small Business)</td> </tr> <tr> <td>E. Regional Organization</td> <td>Q. Small Business</td> </tr> <tr> <td>F. U.S. Territory or Possession</td> <td>R. Hispanic-serving Institution</td> </tr> <tr> <td>G. Independent School District</td> <td>S. Historically Black Colleges and Universities (HBCUs)</td> </tr> <tr> <td>H. Public/State Controlled Institution of Higher Education</td> <td>T. Tribally Controlled Colleges and Universities (TCCUs)</td> </tr> <tr> <td>I. Indian/Native American Tribal Government (Federally Recognized)</td> <td>U. Alaska Native and Native Hawaiian Serving Institutions</td> </tr> <tr> <td>J. Indian/Native American Tribal Government (Other than Federally Recognized)</td> <td>V. Non- US Entity</td> </tr> <tr> <td>K. Indian/Native American Tribally Designated Organization</td> <td>W. Other (specify)</td> </tr> <tr> <td>L. Public/Indian Housing Authority</td> <td></td> </tr> </table>	A. State Government	M. Nonprofit	B. County Government	N. Private Institution of Higher Education	C. City or Township Government	O. Individual	D. Special District Government	P. For-Profit Organization (Other than Small Business)	E. Regional Organization	Q. Small Business	F. U.S. Territory or Possession	R. Hispanic-serving Institution	G. Independent School District	S. Historically Black Colleges and Universities (HBCUs)	H. Public/State Controlled Institution of Higher Education	T. Tribally Controlled Colleges and Universities (TCCUs)	I. Indian/Native American Tribal Government (Federally Recognized)	U. Alaska Native and Native Hawaiian Serving Institutions	J. Indian/Native American Tribal Government (Other than Federally Recognized)	V. Non- US Entity	K. Indian/Native American Tribally Designated Organization	W. Other (specify)	L. Public/Indian Housing Authority		21.	<b>Authorized Representative:</b> To be signed and dated by the authorized representative of the applicant organization. Enter the first and last name (Required) ; prefix, middle name, suffix. Enter title, telephone number, email (Required); and fax number. A copy of the governing body's authorization for you to sign this application as the official representative must be on file in the applicant's office. (Certain federal agencies may require that this authorization be submitted as part of the application.)
A. State Government	M. Nonprofit																										
B. County Government	N. Private Institution of Higher Education																										
C. City or Township Government	O. Individual																										
D. Special District Government	P. For-Profit Organization (Other than Small Business)																										
E. Regional Organization	Q. Small Business																										
F. U.S. Territory or Possession	R. Hispanic-serving Institution																										
G. Independent School District	S. Historically Black Colleges and Universities (HBCUs)																										
H. Public/State Controlled Institution of Higher Education	T. Tribally Controlled Colleges and Universities (TCCUs)																										
I. Indian/Native American Tribal Government (Federally Recognized)	U. Alaska Native and Native Hawaiian Serving Institutions																										
J. Indian/Native American Tribal Government (Other than Federally Recognized)	V. Non- US Entity																										
K. Indian/Native American Tribally Designated Organization	W. Other (specify)																										
L. Public/Indian Housing Authority																											

## Instructions for the ED Supplemental Information for SF 424

1. **Project Director.** Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application.
2. **Novice Applicant.** Check “Yes” or “No” only if assistance is being requested under a program that gives special consideration to novice applicants. Otherwise, leave blank.

Check “Yes” if you meet the requirements for novice applicants specified in the regulations in 34 CFR 75.225 and included on the attached page entitled “Definitions for Department of Education Supplemental Information for SF 424.” By checking “Yes” the applicant certifies that it meets these novice applicant requirements. Check “No” if you do not meet the requirements for novice applicants.

3. **Human Subjects Research.** (See I. A. “Definitions” in attached page entitled “Definitions for Department of Education Supplemental Information For SF 424.”)

**If Not Human Subjects Research.** Check “No” if research activities involving human subjects are not planned at any time during the proposed project period. The remaining parts of Item 3 are then not applicable.

**If Human Subjects Research.** Check “Yes” if research activities involving human subjects are planned at any time during the proposed project period, either at the applicant organization or at any other performance site or collaborating institution. Check “Yes” even if the research is exempt from the regulations for the protection of human subjects. (See I. B. “Exemptions” in attached page entitled “Definitions for Department of Education Supplemental Information For SF 424.”)

**If Human Subjects Research is Exempt from the Human Subjects Regulations.** Check “Yes” if all the research activities proposed are designated to be exempt from the regulations. Insert the exemption number(s) corresponding to one or more of the six exemption categories listed in I. B. “Exemptions.” In addition, follow the instructions in II. A. “Exempt Research Narrative” in the attached page entitled “Definitions for Department of Education Supplemental Information For SF 424.”

**If Human Subjects Research is Not Exempt from Human Subjects Regulations.** Check “No” if some or all of the planned research activities are covered (not exempt). In addition, follow the instructions in II. B. “Nonexempt Research Narrative” in the page entitled “Definitions for

Department of Education Supplemental Information For SF 424

**Human Subjects Assurance Number.** If the applicant has an approved Federal Wide (FWA) on file with the Office for Human Research Protections (OHRP), U.S. Department of Health and Human Services, that covers the specific activity, insert the number in the space provided. If the applicant does not have an approved assurance on file with OHRP, enter “None.” In this case, the applicant, by signature on the SF-424, is declaring that it will comply with 34 CFR 97 and proceed to obtain the human subjects assurance upon request by the designated ED official. If the application is recommended/selected for funding, the designated ED official will request that the applicant obtain the assurance within 30 days after the specific formal request.

**Note about Institutional Review Board Approval.** ED does not require certification of Institutional Review Board approval with the application. However, if an application that involves non-exempt human subjects research is recommended/selected for funding, the designated ED official will request that the applicant obtain and send the certification to ED within 30 days after the formal request.

*Paperwork Burden Statement. According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0017. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, DC 20202-4700. If you have comments or concerns regarding the status of your individual submission of this form write directly to: Joyce I. Mays, Application Control Center, U.S. Department of Education, Potomac Center Plaza, 550 12<sup>th</sup> Street, S.W. Room 7076, Washington, DC 20202-4260.*

## Definitions for ED Supplemental Information for SF 424

### Definitions:

**Novice Applicant (See 34 CFR 75.225).** For discretionary grant programs under which the Secretary gives special consideration to novice applications, a novice applicant means any applicant for a grant from ED that—

- Has never received a grant or subgrant under the program from which it seeks funding;
- Has never been a member of a group application, submitted in accordance with 34 CFR 75.127-75.129, that received a grant under the program from which it seeks funding; and
- Has not had an active discretionary grant from the Federal government in the five years before the deadline date for applications under the program. For the purposes of this requirement, a grant is active until the end of the grant's project or funding period, including any extensions of those periods that extend the grantee's authority to obligate funds.

In the case of a group application submitted in accordance with 34 CFR 75.127-75.129, a group includes only parties that meet the requirements listed above.

### PROTECTION OF HUMAN SUBJECTS IN RESEARCH

#### I. Definitions and Exemptions

##### A. Definitions.

A research activity involves human subjects if the activity is research, as defined in the Department's regulations, and the research activity will involve use of human subjects, as defined in the regulations.

##### —Research

The ED Regulations for the Protection of Human Subjects, Title 34, Code of Federal Regulations, Part 97, define research as “a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge.” *If an activity follows a deliberate plan whose purpose is to develop or contribute to generalizable knowledge it is research.* Activities, which meet this definition, constitute research whether or not they are conducted or

supported under a program that is considered research for other purposes. For example, some demonstration and service programs may include research activities.

##### —Human Subject

The regulations define human subject as “a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information.” *(1) If an activity involves obtaining information about a living person by manipulating that person or that person's environment, as might occur when a new instructional technique is tested, or by communicating or interacting with the individual, as occurs with surveys and interviews, the definition of human subject is met. (2) If an activity involves obtaining private information about a living person in such a way that the information can be linked to that individual (the identity of the subject is or may be readily determined by the investigator or associated with the information), the definition of human subject is met.* [Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a school health record).]

##### B. Exemptions.

Research activities in which the **only** involvement of human subjects will be in one or more of the following six categories of **exemptions** are not covered by the regulations:

(1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (a) research on regular and special education instructional strategies, or (b) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and

(b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation. *If the subjects are children, exemption 2 applies only to research involving educational tests and observations of public behavior when the investigator(s) do not participate in the activities being observed. Exemption 2 does not apply if children are surveyed or interviewed or if the research involves observation of public behavior and the investigator(s) participate in the activities being observed.* [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

(3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior that is not exempt under section (2) above, if the human subjects are elected or appointed public officials or candidates for public office; or federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

(4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.

(5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs.

(6) Taste and food quality evaluation and consumer acceptance studies, (a) if wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

## **II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives**

If the applicant marked "Yes" for Item 3 of Department of Education Supplemental Information for SF 424, the applicant must provide a human subjects "exempt research" or "nonexempt research" narrative. Insert the narrative(s) in the space provided. If you have multiple projects and need to provide more than one narrative, be sure to label each set of responses as to the project they address.

### **A. Exempt Research Narrative.**

If you marked "Yes" for item 3 a. and designated exemption numbers(s), provide the "exempt research" narrative. The narrative must contain sufficient information about the involvement of human subjects in the proposed research to allow a determination by ED that the designated exemption(s) are appropriate. The narrative must be succinct.

### **B. Nonexempt Research Narrative.**

If you marked "No" for item 3 a. you must provide the "nonexempt research" narrative. The narrative must address the following seven points. Although no specific page limitation applies to this section of the application, be succinct.

#### **(1) Human Subjects Involvement and Characteristics:**

Provide a detailed description of the proposed involvement of human subjects. Describe the characteristics of the subject population, including their anticipated number, age range, and health status. Identify the criteria for inclusion or exclusion of any subpopulation. Explain the rationale for the involvement of special classes of subjects, such as children, children with disabilities, adults with disabilities, persons with mental disabilities, pregnant women, prisoners, institutionalized individuals, or others who are likely to be vulnerable

**(2) Sources of Materials:** Identify the sources of research material obtained from individually identifiable living human subjects in the form of specimens, records, or data. Indicate whether the material or data will be obtained specifically for research purposes or whether use will be made of existing specimens, records, or data.

**(3) Recruitment and Informed Consent:** Describe plans for the recruitment of subjects and the consent procedures to be followed. Include the circumstances under which consent will be sought and obtained, who

will seek it, the nature of the information to be provided to prospective subjects, and the method of documenting consent. State if the Institutional Review Board (IRB) has authorized a modification or waiver of the elements of consent or the requirement for documentation of consent.

**(4) Potential Risks:** Describe potential risks (physical, psychological, social, legal, or other) and assess their likelihood and seriousness. Where appropriate, describe alternative treatments and procedures that might be advantageous to the subjects.

**(5) Protection Against Risk:** Describe the procedures for protecting against or minimizing potential risks, including risks to confidentiality, and assess their likely effectiveness. Where appropriate, discuss provisions for ensuring necessary medical or professional intervention in the event of adverse effects to the subjects. Also, where appropriate, describe the provisions for monitoring the data collected to ensure the safety of the subjects.

**(6) Importance of the Knowledge to be Gained:** Discuss the importance of the knowledge gained or to be gained as a result of the proposed research. Discuss why the risks to subjects are reasonable in relation to the anticipated benefits to subjects and in relation to the

importance of the knowledge that may reasonably be expected to result.

**(7) Collaborating Site(s):** If research involving human subjects will take place at collaborating site(s) or other performance site(s), name the sites and briefly describe their involvement or role in the research.

*Copies of the Department of Education's Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from the Grants Policy and Oversight Staff, Office of the Chief Financial Officer, U.S. Department of Education, Washington, DC 20202-4250, telephone: (202) 245-6120, and on the U.S. Department of Education's Protection of Human Subjects in Research Web Site:*  
*<http://www.ed.gov/about/offices/list/ocfo/humansub.html>*

NOTE: The **State Applicant Identifier** on the SF 424 is for State Use only. Please complete it on the OMB Standard 424 in the upper right corner of the form (if applicable).

## **Part 2: Budget Information**

### ☐ ED Budget Information Non-Construction Programs (ED Form 524)

This part of your application contains information about the Federal funding you are requesting. Remember that you must provide all requested budget information for each year of the project and the total column in order to be considered for Federal funding. Specific instructions for completing the budget forms are provided within this application package.

*Instructions for completing ED Form 524 Section A:*

Name of Institution/Organization: Enter the name of the applicant in the space provided.

#### Personnel (line 1):

- Enter project personnel salaries and wages only.
- Only project staff members that are employees of the applicant should be included in this category. Staff members who are working on the project but are being paid with an in-kind contribution should be included in this category under Section B. Include fees and expenses for consultants on line 6.

#### Fringe Benefits (line 2):

- The institution's normal fringe benefits contribution may be charged to the program.
- Leave this line blank if fringe benefits applicable to direct salaries and wages are treated as part of the indirect cost.

#### Travel (line 3):

- Indicate the travel costs of employees and participants only.
- Include travel of persons such as consultants on line 6.
- Travel costs include expenses for transportation, lodging, subsistence and related items incurred by employees who are in travel status on official business of the organization.
- All travel must be justified and clearly linked to the goals and objectives of your project.

#### Equipment (line 4):

- Indicate the cost of tangible, non-expendable personal property that has a useful life greater than one year and an acquisition cost that is the lesser of the capitalization level established by the applicant entity for financial statement purposes or \$5,000 per article.
- Lower limits may be established to maintain consistency with the applicant's policy.

#### Supplies (line 5):

- Indicate the costs of all tangible, expendable personal property. Direct supplies and materials differ from equipment in that they are consumable, expendable, and of a relatively low unit cost.
- Supplies purchased with grant funds should directly benefit the grant project and be necessary for achieving the goals of the project.

Contractual (line 6):

- Indicate all costs specifically incurred with actions that the applicant takes in conjunction with an established internal procurement system.
- Include consultant fees, expenses, and travel costs in this category if the consultant's services are obtained through a written binding agreement or contract.

Construction (line 7):

- New construction is not allowed under this competition. *No costs should be listed under this category.*
- Costs for modernization, renovation, and repair are allowable expenses, but should be placed in the "Other" or "Contractual" category, depending on whether or not the services will be provided by a third party.

Other (line 8):

- Indicate all direct costs not covered on lines 1-6.
- For example, include costs such as space rental, required fees, honoraria and travel (where a contract is not in place for services), training, and communication and printing costs. Release time for teachers to attend training or substitute teacher compensation should be put in this category, not "Personnel"
- *Do not include costs that are included in the indirect cost rate.*

Total Direct Costs (line 9): The sum of lines 1-8.

Indirect Costs (line 10):

- Indicate the applicant's approved indirect cost rate, per sections 75.560 – 75.564 of EDGAR.
- If an applicant does not have an approved indirect cost rate agreement with a cognizant Federal agency, the applicant must apply to the Department for a temporary indirect cost rate if it wishes to charge indirect costs to the grant. For more information, go to the Department's website at: <http://www.ed.gov/about/offices/list/ocfo/fipao/icgindex.html>.

Training Stipends (line 11):

- There are basically three types of projects that might include budget requests for stipends, tuition allowances, or other types of similar charges to support the objectives of the project: fellowship or scholarship program, educational training projects, and projects where students receive tuition remission or other forms of compensation as, or in lieu of, wages.
- If teachers are paid a stipend (or overtime) to receive training after working hours or on weekends, these costs should be included in the "Other" category.

Total Cost (line 12):

- This should equal to sum of lines 9-11 (total direct costs + indirect + stipends).
- The sum for column one, labeled *Project Year 1* (a), should also be equal to item 15a on the application cover sheet (SF Form 424).



**NOTE: The total cost for the project cannot exceed the maximum award amount established for this competition. Applications that exceed the maximum award amount will not be considered for funding.**

Applicants may request up to \$500,000 per year for each school it intends to serve through the grant. An applicant may not include more than 3 schools in a single grant application. The following chart provides the maximum award amounts for applicants that propose to serve 1, 2 or 3 schools in a grant with a 1-year project period or a 2-year project period:

Maximum Awards		
Number of schools served	Project Period	
	1 year	2 years
1	\$500,000	\$1,000,000
2	\$1,000,000	\$2,000,000
3	\$1,500,000	\$3,000,000

## Instructions for ED 524

### General Instructions

This form is used to apply to individual U.S. Department of Education (ED) discretionary grant programs. Unless directed otherwise, provide the same budget information for each year of the multi-year funding request. Pay attention to applicable program specific instructions, if attached. You may access the Education Department General Administrative Regulations, 34 CFR 74 – 86 and 97-99, on ED’s website at: <http://www.ed.gov/policy/fund/reg/edgarReg/edgar.html>

**You must consult with your Business Office prior to submitting this form.**

### Section A - Budget Summary U.S. Department of Education Funds

All applicants must complete Section A and provide a break-down by the applicable budget categories shown in lines 1-11.

Lines 1-11, columns (a)-(e): For each project year for which funding is requested, show the total amount requested for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If funding is requested for only one project year, leave this column blank.

Line 12, columns (a)-(e): Show the total budget request for each project year for which funding is requested.

Line 12, column (f): Show the total amount requested for all project years. If funding is requested for only one year, leave this space blank.

**Indirect Cost Information:** If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. (1): Indicate whether or not your organization has an Indirect Cost Rate Agreement that was approved by the Federal government. If you checked “no,” ED generally will authorize grantees to use a temporary rate of 10 percent of budgeted salaries and wages subject to the following limitations:

(a) The grantee must submit an indirect cost proposal to its cognizant agency within 90 days after ED issues a grant award notification; and

(b) If after the 90-day period, the grantee has not submitted an indirect cost proposal to its cognizant agency, the grantee may not charge its grant for indirect costs until it has negotiated an indirect cost rate agreement with its cognizant agency.

(2): If you checked “yes” in (1), indicate in (2) the beginning and ending dates covered by the Indirect Cost Rate Agreement. In addition, indicate whether ED, another Federal agency (Other) or State agency issued the approved agreement. If you check “Other,” specify the name of the Federal or other agency that issued the approved agreement.

(3): If you are applying for a grant under a Restricted Rate Program (34 CFR 75.563 or 76.563), indicate whether you are using a

restricted indirect cost rate that is included on your approved Indirect Cost Rate Agreement or whether you are using a restricted indirect cost rate that complies with 34 CFR 76.564(c)(2). Note: State or Local government agencies may not use the provision for a restricted indirect cost rate specified in 34 CFR 76.564(c)(2). Check only one response. Leave blank, if this item is not applicable.

### Section B - Budget Summary Non-Federal Funds

If you are required to provide or volunteer to provide cost-sharing or matching funds or other non-Federal resources to the project, these should be shown for each applicable budget category on lines 1-11 of Section B.

Lines 1-11, columns (a)-(e): For each project year, for which matching funds or other contributions are provided, show the total contribution for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If non-Federal contributions are provided for only one year, leave this column blank.

Line 12, columns (a)-(e): Show the total matching or other contribution for each project year.

Line 12, column (f): Show the total amount to be contributed for all years of the multi-year project. If non-Federal contributions are provided for only one year, leave this space blank.

### Section C - Budget Narrative [Attach separate sheet(s)] Pay attention to applicable program specific instructions, if attached.

1. Provide an itemized budget breakdown, and justification by project year, for each budget category listed in Sections A and B. For grant projects that will be divided into two or more separately budgeted major activities or sub-projects, show for each budget category of a project year the breakdown of the specific expenses attributable to each sub-project or activity.
2. For non-Federal funds or resources listed in Section B that are used to meet a cost-sharing or matching requirement or provided as a voluntary cost-sharing or matching commitment, you must include:
  - a. The specific costs or contributions by budget category;
  - b. The source of the costs or contributions; and
  - c. In the case of third-party in-kind contributions, a description of how the value was determined for the donated or contributed goods or services.

[Please review ED’s general cost sharing and matching regulations, which include specific limitations, in 34 CFR 74.23, applicable to non-

governmental entities, and 80.24, applicable to governments, and the applicable Office of Management and Budget (OMB) cost principles for your entity type regarding donations, capital assets, depreciation and use allowances. OMB cost principle circulars are available on OMB’s website at:

<http://www.whitehouse.gov/omb/circulars/index.html>

3. If applicable to this program, provide the rate and base on which fringe benefits are calculated.
4. If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. Specify the estimated amount of the base to which the indirect cost rate is applied and the total indirect expense. Depending on the grant program to which you are applying and/or your approved Indirect Cost Rate Agreement, some direct cost budget categories in your grant application budget may not be included in the base and multiplied by your indirect cost rate. For example, you must multiply the indirect cost rates of “Training grants” (34 CFR 75.562) and grants under programs with “Supplement not Supplant” requirements (“Restricted Rate” programs) by a “modified total direct cost” (MTDC) base (34 CFR 75.563 or 76.563). Please indicate which costs are included and which costs are excluded from the base to which the indirect cost rate is applied.

When calculating indirect costs (line 10) for “Training grants” or grants under “Restricted Rate” programs, you must refer to the information and examples on ED’s website at:

<http://www.ed.gov/fund/grant/apply/appforms/appforms.html>.

You may also contact (202) 377-3838 for additional information regarding calculating indirect cost rates or general indirect cost rate information.

5. Provide other explanations or comments you deem necessary.

### Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1894-0008. The time required to complete this information collection is estimated to vary from 13 to 22 hours per response, with an average of 17.5 hours per response, including the time to review instructions, search existing data sources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4537. If you have comments or concerns regarding the status of your individual submission of this form, write directly to (insert program office), U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202..

### **Part 3: Project Abstract Form**

*This section should be attached as a **single** document to the Project Abstract Form in accordance with the instructions found on <http://e-grants.ed.gov> and should be organized in the following manner and include the following parts in order to expedite the review process.*

*Ensure that you only attach the Education approved file types detailed in the Federal Register application notice (.doc, .pdf or .rtf). If using Word 2007, save your file to an earlier version of Word before uploading. Also, do not upload any password-protected files to your application.*

*When attaching files, applicants should limit the size of their file names. Lengthy file names could result in difficulties with opening and processing your application. We recommend your file names be less than 50 characters.*

#### **☐ Project Abstract**

The project abstract should not exceed **one** double spaced page and should include a concise description of the following information:

- Name of targeted schools
- Number of participants to be served
- Project objectives and activities
- Proposed project outcomes

***NOTE: It is very important that you clearly list the schools (by name) that you will serve through your project. This list will help us to determine whether or not you have met the competitive preference priority.***

The competitive preference priority for this competition is: **Serving persistently lowest-achieving schools**. Five additional points will be awarded to LEAs that propose to serve at least one school designated by the State as a “persistently lowest-achieving school” for purposes of using school improvement funds under section 1003(g) of title I of the Elementary and Secondary Education Act of 1965, as amended (ESEA). A “persistently lowest-achieving school” under section 1003(g) means a school, as defined by each State, that falls into one of the following groups: 1) Any Title I school in improvement, corrective action, or restructuring that (i) is among the lowest-achieving five percent of Title I schools in improvement, corrective action, or restructuring in the State (or the lowest-achieving five such schools, whichever number of schools is greater) or (ii) is a Title I high school that has had a graduation rate that is less than 60 percent over a number of years; or 2) Any secondary school that is eligible for, but does not receive, Title I funds that (i) is among the lowest-achieving five percent of secondary schools in the State (or the lowest-achieving five secondary schools, whichever number of schools is greater) that are eligible for, but do not receive, Title I funds or (ii) is a high school that has had a graduation rate that is less than 60 percent over a number of years.

Each State’s definition and list of the “persistently lowest-achieving schools” can be found at: <http://www.ed.gov/programs/sif/summary/index.html>.

**Also, you may not include more than 3 schools in a single application for a grant.** Applications that include more than 3 schools will be excluded from funding.

## **Part 4: Project Narrative Attachment Form**

*This section should be attached as a **single** document to the Project Narrative Attachment Form in accordance with the instructions found on <http://e-grants.ed.gov> and should be organized in the following manner and include the following parts in order to expedite the review process.*

*Ensure that you only attach the Education approved file types detailed in the Federal Register application notice (.doc, .pdf or .rtf). If using Word 2007, save your file to an earlier version of Word before uploading. Also, do not upload any password-protected files to your application.*

*When attaching files, applicants should limit the size of their file names. Lengthy file names could result in difficulties with opening and processing your application. We recommend your file names be less than 50 characters.*

### ☐ Table of Contents

The Table of Contents shows where and how the important sections of your proposal are organized and should not exceed **one** double spaced page.

### ☐ Application Narrative

*The application narrative responds to the selection criteria found in this application package and should follow the order of the selection criteria.*

You must limit the project narrative to the equivalent of **no more than 20 pages**, using the following standards:

- A “page” is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides.
- Double space (no more than three lines per vertical inch) all text in the application narrative, including titles, headings, and quotations.
- Use a font that is either 12 point or larger or no smaller than 10 pitch (characters per inch).
- Use one of the following fonts: Times New Roman, Courier, Courier New, or Arial. An application submitted in any other font (including Times Roman or Arial Narrow) will not be accepted.

The page limit does not apply to the cover sheet; the budget section, including the narrative budget justification; the assurances and certifications; the one-page abstract; or the appendices. However, the page limit does apply to all of the application narrative section.

**Applications that exceed the page limit will be rejected.**

### ***Selection Criteria for Program Narrative***

The maximum score for all selection criteria is 100 points. The points or weights assigned to each criterion are indicated in parentheses. Non-Federal peer reviewers will review each application. They will be asked to evaluate and score each program narrative against the following selection criteria:

(a) Need for the project. (40 points) The Secretary considers the following factors:

(i) The severity of the impact of the hurricane(s) on each school targeted for services under the project (10 points). *Note: In addressing this factor, applicants should consider providing quantitative data, qualitative data, or both, on the status of each targeted school prior to the hurricane, as well as the impact of the hurricane(s) on each targeted school.*

(ii) The magnitude of the need for the services to be provided or the activities to be carried out at each targeted school (10 points). *Note: In addressing this factor, applicants should consider including quantitative data, qualitative data, or both, highlighting the specific needs resulting from the impact of the hurricane(s).*

(iii) The extent to which other sources of funds (including FEMA reimbursement, private insurance, other funds) are not available to meet the needs of the targeted schools (20 points). *Note: In addressing this factor, applicants should consider describing the financial resources needed for recovery efforts at each targeted school, and the extent to which current or future funding exists to meet these needs.*

(b) Project design and services. (30 points) The Secretary considers the following factors:

(i) The extent to which the proposed project services will successfully address the needs of each targeted school (15 points). *Note: In addressing this factor, applicants should consider proposing services that focus on restoring the learning environment and that respond to the specific recovery needs of the targeted schools.*

(ii) The likelihood that the services to be provided by the proposed project will lead to improvements in the achievement of students as measured against rigorous academic achievement standards (10 points). *Note: In addressing this factor, applicants should consider including an explanation of how the proposed recovery efforts will result in the increased academic achievement of students.*

(iii) The extent to which the services to be provided by the proposed project involve the collaboration of appropriate partners in order to maximize the effectiveness of proposed project services (5 points). *Note: In addressing this factor, applicants should consider identifying how the proposed recovery efforts will be coordinated with other entities to meet the needs of the targeted schools.*

(c) Project management. (30 points) The Secretary considers the following factors:

(i) The qualifications, including relevant training and experience, of key personnel (10 points).

(ii) The adequacy of the management plan to achieve the objectives of the proposed project on time and within budget (8 points).

(iii) The extent to which the management plan articulates clearly defined responsibilities and includes realistic timelines and milestones for accomplishing project tasks (5 points).

(iv) The extent to which the applicant has a sound financial management system, including effective internal controls, to administer the grant funds (7 points). *Note: In addressing this factor, applicants should consider including an overview of their financial management system, including how they maintain effective internal controls and fund-accountability procedures.*

## **Part 5: Budget Narrative**

*This section should be attached as a **single** document to the Budget Narrative Attachment Form in accordance with the instructions found on <http://e-grants.ed.gov>. It should be organized in the following manner and include the following parts in order to expedite the review process.*

*Ensure that you only attach the Education approved file types detailed in the Federal Register application notice (.doc, .pdf or .rtf). If using Word 2007, save your file to an earlier version of Word before uploading. Also, do not upload any password-protected files to your application.*

*When attaching files, applicants should limit the size of their file names. Lengthy file names could result in difficulties with opening and processing your application. We recommend your file names be less than 50 characters.*

Each application must also provide a Budget Narrative (which serves to meet the requirements of ED Form 524, Section C) for requested Federal funds. The Budget Narrative for requested Federal funds should provide a justification of how the money requested for each budget item will be spent.

This section requires an **itemized budget breakdown** for each project year and the **basis for estimating the costs** of personnel salaries, benefits, project staff travel, materials and supplies, consultants and subcontracts, indirect costs and any other projected expenditures. Be sure to complete an itemized budget breakdown and narrative for each year of the proposed project (up to 24 months).

The Budget Narrative provides an opportunity for the applicant to identify the nature and amount of the proposed expenditures. The applicant should provide sufficient detail to enable reviewers and project staff to understand how requested funds will be used, how much will be expended, and the relationship between the requested funds and project activities and outcomes.

### **Important Notes**

- Applicants are encouraged to review OMB Circular A-21, *Cost Principles for Educational Institutions* [OMB Circular A-87, *Cost Principles for State, Local, and Indian Tribal Governments* or OMB Circular A-122, *Cost Principles for Nonprofit Organizations*] in preparing their budget and budget narrative.
- OMB Circular A-21 may be found at the following link:  
[http://www.whitehouse.gov/omb/circulars/a021/a21\\_2004.html](http://www.whitehouse.gov/omb/circulars/a021/a21_2004.html)
- OMB Circular A-87 may be found at the following link:  
[http://www.whitehouse.gov/omb/circulars/a087/a87\\_2004.html](http://www.whitehouse.gov/omb/circulars/a087/a87_2004.html)
- OMB Circular A-122 may be found at the following link:  
[http://www.whitehouse.gov/omb/circulars/a122/a122\\_2004.html](http://www.whitehouse.gov/omb/circulars/a122/a122_2004.html)

## **Suggested Guidelines for the Budget Narrative**

In accordance with 34 CFR 75.232, Department staff perform a cost analysis of the recommended project to ensure that costs relate to the activities and objectives of the project, are reasonable (costs that would be incurred by a “prudent person”), allowable (either permitted or not specifically prohibited), and allocable (can be directly allocated to your project). Any costs not fully described or justified may be deleted from your funding request during the budget review conducted by our staff.

To facilitate the review of your Budget Narrative, we encourage each applicant to include the following information for each year of the project:

### **1. Personnel**

- Provide the title and duties of each position to be compensated under this project.
- Provide the salary for each position under this project.
- Provide the amounts of time, such as hours or percentage of time to be expended by each position under this project.
- Explain the importance of each position to the success of the project.
- Provide the basis for cost estimates or computations.

### **2. Fringe Benefits**

- Give the fringe benefit percentages of all personnel included under Personnel.
- Provide the rate and basis on which fringe benefits are calculated.

### **3. Travel**

- Explain the purpose of the travel, how it relates to project success, how it aligns with the project goals and objectives and which program participants or staff will participate.
- Submit an estimate for the number of trips, points of origin and destination, and purpose of travel.
- Submit an itemized estimate of transportation and/or subsistence costs for each trip.
- Provide the basis for cost estimates or computations.

### **4. Equipment**

- Indicate the estimated unit cost for each item to be purchased.
- Identify each type of equipment.
- Provide adequate justification of the need for items of equipment to be purchased.
- Explain the purpose of the equipment, and how it relates to project success.
- Provide the basis for cost estimates or computations.

### **5. Supplies**

- Provide an itemized estimate of materials and supplies by nature of expense or general category (e.g., instructional materials, office supplies, etc.).
- Explain the purpose of the supplies and how they relate to project success.
- Provide the basis for cost estimates or computations.

### **6. Contractual**

- Provide the purpose and relation to project success.
- Describe the products to be acquired, and/or the professional services to be rendered
- Provide the cost per contractor.

- Provide the amount of time that the project will be working with the contractor(s).
- For professional services contracts, provide the amounts of time to be devoted to the project, including the costs to be charged to this proposed grant award.
- Provide the basis for cost estimates or computations.

## 7. Construction

- Not applicable.

## 8. Other

- List and identify items by major type or category (e.g., communications, printing, postage, equipment rental, etc.).
- Provide the cost per item (e.g., printing = \$500, postage = \$750).
- Provide the purpose for the expenditures and relation to project success.
- Provide the basis for cost estimates or computations.

## 9. Total Direct Costs

- The amount that is the sum of expenditures, per budget category, of lines 1-8.

## 10. Indirect Costs

- Identify indirect cost rate (if the applicant will charge indirect costs to the grant).
- *Note:* Remember to provide a copy of the most recent approved indirect cost agreement in the Other Attachments form section of the application.

## 11. Training Stipends

- Include the number of stipends.
- Include the amount of each stipend.
- Provide the basis for cost estimates or computations.

## 12. Total Costs

- Sum total of direct costs, indirect costs, and stipends.
- Please provide total costs for each year of the project as well as grand total cost for the entire project period (up to 24 months).

**NOTE: The total cost for the project cannot exceed the maximum award amount established for this competition. Applications that exceed the maximum award amount will not be considered for funding.** Applicants may request up to \$500,000 per year for each school it intends to serve through the grant. An applicant may not include more than 3 schools in a single grant application. The following chart provides the maximum award amounts for applicants that propose to serve 1, 2 or 3 schools per grant with a 1-year or a 2-year project period:

Maximum Awards		
Number of schools served	Project Period	
	1 year	2 years
1	\$500,000	\$1,000,000
2	\$1,000,000	\$2,000,000
3	\$1,500,000	\$3,000,000



### ***Important Information Regarding Indirect Cost Rates***

The Department of Education (ED) reimburses a grantee for part of its indirect costs incurred in projects funded by the **Gulf Coast Recovery Grant Initiative** (CFDA 84.215C). These kinds of costs generally are recovered through an indirect cost rate (ICR) that the grantee negotiates with its *cognizant agency*, i.e., either the Federal agency from which it has received the most direct funding, subject to indirect cost support, the particular agency specifically assigned cognizance by the Office of Management and Budget or the State agency that provides the most subgrant funds to the grantee.

**Note:** Applicants should pay special attention to specific questions on the application budget form (ED 524) about their cognizant agency and the ICR they are using in their budget. Applicants for discretionary grants that are not a State or a local government and that do not have a negotiated restricted rate may use the eight percent rate described at EDGAR § 76.564(c)(2). The eight percent rate must be multiplied by the modified total direct cost base described in EDGAR § 76.569.

If an applicant selected for funding under this competition has not already established a current indirect cost rate with its cognizant agency as a result of current or previous funding, ED requires the grantee to propose a restricted rate to its cognizant agency within **90 days** after the beginning date of the grant award. Applicants should be aware that ED is very often not the cognizant agency for its own grantees.

Also, an applicant that has not previously established a restricted indirect cost rate with its cognizant agency and that is selected for funding will not be allowed to charge its grant for indirect costs until it has negotiated a current indirect cost rate agreement with its cognizant agency.

Applicants with questions about charging indirect costs on this competition should contact the competition contact person noted elsewhere in this application package.

## **Part 6: Other Attachment Form**

*Attach documents to the Other Attachments Forms in accordance with the instructions for this competition. You may only attach a single document to each form.*

*Ensure that you only attach the Education approved file types detailed in the Federal Register application notice (.doc, .pdf or .rtf). If using Word 2007, save your file to an earlier version of Word before uploading. Also, do not upload any password-protected files to your application.*

*When attaching files, applicants should limit the size of their file names. Lengthy file names could result in difficulties with opening and processing your application. We recommend your file names be less than 50 characters.*

- ☐ **Indirect Cost Rate (If applicable)**
- ☐ **Individual Resumes for Project Directors and Key Personnel:** Provide brief resumes or job descriptions that describe their qualifications for the responsibilities they will carry out under the project.

## **Part 7: Assurances and Certifications**

*Be certain to complete all required assurances and certifications in <http://e-grants.ed.gov>, and include all required information in the appropriate place on each form. The assurances and certifications required for this application are:*

- ☐ **Assurances – Non-Construction Programs (SF 424B Form)**  
The purpose of this form is to certify that the applying organization and its authorized representative are aware of the legal requirements of the grant and are willing to comply with them.
- ☐ **Disclosure of Lobbying Activities (SF LLL Form) (if applicable)**  
The purpose of this form is to disclose any lobbying activities that use any non-Federal funds to influence Congress in the grant-making progress. If this does not apply to you do not need to include this form in your submission.
- ☐ **Certification Regarding Lobbying (ED 80-0013 Form)**  
The purpose of this form is to certify that the applying organization has not and will not lobby Congress in connection with the grant, and that if any non-Federal funds have been used to lobby, this information will be disclosed on Standard Form LLL.
- ☐ **General Education Provisions Act (GEPA) Requirements – Section 427**  
This purpose GEPA is to require the applicant, as a condition of receiving a grant, to identify barriers to equitable participation in its federally assisted program and to provide a description of the steps it will take to overcome the barriers. Barriers might include gender, race, national origin, disability, age, language background, or other unique factors in the setting in which the program will be carried out. A general statement of the applicant's nondiscrimination policy is not sufficient to meet this requirement.

## INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitations for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.  
  
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

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According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503

## **Instructions for Meeting the General Education Provisions Act (GEPA)**

### **Section 427 Requirements**

All applicants for new awards **must** include information in their applications to address this new provision in order to receive funding under this competition.

Section 427 **requires** each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its Federally-assisted program for students, teachers, and other program beneficiaries with special needs.

This provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age.

A general statement of an applicant's nondiscriminatory hiring policy is **not** sufficient to meet this requirement. Applicants must identify potential barriers and explain steps they will take to overcome these barriers.

Please review the Notice to all Applicants (included in the electronic application package in <http://e-grants.ed.gov>) for further information on meeting the provisions in the Department of Education's General Education Provisions Act (GEPA).

Applicants are **required** to address this provision by attaching a statement (not to exceed three pages) to the **ED GEPA427 form** that is included in the electronic application package in <http://e-grants.ed.gov>.

## **Part 8: Intergovernmental Review of Federal Programs (Executive Order 12372)**

This competition falls under the rubric of Executive Order 12372 (Intergovernmental Review of Federal Programs) and the regulations in 34 CFR Part 79. One of the objectives of the Executive order is to strengthen federalism--or the distribution of responsibility between localities, States, and the Federal government--by fostering intergovernmental partnerships. This idea includes supporting processes that State or local governments have devised for coordinating and reviewing proposed Federal financial grant applications.

The process for doing this requires grant applicants to contact State Single Points of Contact for information on how this works. Multi-State applicants should follow procedures specific to each State.

Further information about the State Single Point of Contact (SPOC) process and a list of names by State can be found at:

<http://www.whitehouse.gov/omb/grants/spoc.pdf>

Absent specific State review programs, applicants may submit comments directly to the Department. All recommendations and comments must be mailed or hand-delivered by the date indicated in the actual application notice to the following address: The Secretary, EO 12372--CFDA# [commenter must insert number--including suffix letter, if any], U.S. Department of Education, room 7E200. 400 Maryland Avenue, SW., Washington, DC 20202.

Proof of mailing will be determined on the same basis as applications (see 34 CFR §75.102). Recommendations or comments may be hand-delivered until 4:30 p.m. (eastern time) on the closing date indicated in this notice.

**Important note:** The above address is not the same address as the one to which the applicant submits its completed applications. **Do not send applications to the above address.**

Not all States have chosen to participate in the intergovernmental review process, and therefore do not have a SPOC. If you are located in a State that does not have a SPOC, you may send application materials directly to the Department as described in the *Federal Register* notice.

## Reporting and Accountability

Successful applicants with multi-year grants must submit an **annual performance report** demonstrating their progress in meeting approved project objectives. Grantees must also provide the most current financial and performance measure data for each year of the project.

At the end of the project period, applicants will also be required to submit a **final performance report**.

Under the Government Performance and Results Act of 1993 (GPRA), the Department has developed the following performance measure for measuring the overall effectiveness of the GCRG initiative:

The percentage of grantees that successfully accomplish their project goals and objectives. The Department will collect data for this measure from grantees' final performance reports.

For specific requirements on grantee reporting, please go to the ED Performance Report Form 524B at <http://www.ed.gov/fund/grant/apply/appforms/appforms.html>.

## Legal and Regulatory Information

### **Notice Inviting Applications**

4000-01-U

DEPARTMENT OF EDUCATION

Office of Elementary and Secondary Education

Overview Information

Gulf Coast Recovery Grant Initiative

Notice inviting applications for new awards for fiscal year (FY) 2010.

Catalog of Federal Domestic Assistance (CFDA) Number: 84.215C.

#### **Dates:**

Applications Available: May 27, 2010.

Deadline for Notice of Intent to Apply: June 21, 2010.

Deadline for Transmittal of Applications: July 9, 2010.

Deadline for Intergovernmental Review: September 7, 2010.

Full Text of Announcement

#### **I. Funding Opportunity Description**

**Purpose of Program:** The purpose of the Gulf Coast Recovery Grant Initiative is to assist local educational agencies (LEAs) in improving education in areas affected by Hurricanes Katrina, Ike, and Gustav.

**Priority:** We are establishing this priority for the FY 2010 grant competition only, in accordance with section 437(d)(1) of the General Education Provisions Act (GEPA), 20 U.S.C. 1232(d)(1).

**Competitive Preference Priority:** This priority is a competitive preference priority. Under 34 CFR 75.105(c)(2)(i) we award an additional 5 points to an application that meets this priority.



This priority is:

Serving persistently lowest-achieving schools.

Five additional points will be awarded to an application that proposes to serve at least one school designated by the State as a “persistently lowest-achieving school” for purposes of using school improvement funds under section 1003(g) of Title I of the Elementary and Secondary Education Act of 1965, as amended (ESEA). A “persistently lowest-achieving school” under section 1003(g) means a school, as defined by each State, that falls into one of the following groups:

(1) Any Title I school in improvement, corrective action, or restructuring that (i) is among the lowest-achieving five percent of Title I schools in improvement, corrective action, or restructuring in the State (or the lowest-achieving five such schools, whichever number of schools is greater) or (ii) is a Title I high school that has had a graduation rate that is less than 60 percent over a number of years.

(2) Any secondary school that is eligible for, but does not receive, Title I funds that (i) is among the lowest-achieving five percent of secondary schools in the State (or the lowest-achieving five secondary schools, whichever number of schools is greater) that are eligible for, but do not receive, Title I funds or (ii) is a high school that has had a graduation rate that is less than 60 percent over a number of years.

Waiver of Proposed Rulemaking: Under the Administrative Procedure Act (5 U.S.C. 553) the Department generally offers interested parties the opportunity to comment on proposed priorities, requirements, and selection criteria. Section 437(d)(1) of GEPA, however, allows the Secretary to exempt from rulemaking requirements, regulations governing the first grant competition under a new or substantially revised program authority. This is the first grant competition for the Gulf Coast Recovery Grant Initiative and therefore qualifies for this exemption. In order to ensure

timely grant awards, the Secretary has decided to forgo public comment on the priority, requirements, and selection criteria under section 437(d)(1) of GEPA. This priority, requirements, and selection criteria will apply to the FY 2010 grant competition only.

Program Authority: Consolidated Appropriations Act, 2010 (Pub. L. 111-117).

Applicable Regulations: The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 74, 75, 77, 79, 80, 81, 82, 84, 85, 86, 97, 98, and 99.

Note: The regulations in 34 CFR part 79 apply to all applicants except federally recognized Indian tribes.

## II. Award Information

Type of Award: Discretionary grants.

Estimated Available Funds: \$12,000,000.

Estimated Range of Awards: \$150,000 - \$3,000,000.

Estimated Average Size of Awards: \$1,500,000.

Note: An eligible LEA may request up to \$500,000 per year for each school it intends to serve through the grant under this competition. To ensure that sufficient funds are available to support awards to LEAs of all sizes, and not only the largest LEAs, an applicant may not include more than three schools in a single application for a grant. We will reject any application that includes more than three schools in its proposal.

The following chart provides the maximum award amounts for applicants that propose to serve one, two, or three schools per grant with a one-year or two-year project period:

<u>Maximum Awards</u>		
Number of schools served	Project Period	
	1 year	2 years
1	\$500,000	\$1,000,000
2	\$1,000,000	\$2,000,000

3	\$1,500,000	\$3,000,000
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The actual size of awards will be based on a number of factors, including the scope, quality, and comprehensiveness of the proposed project.

Maximum Award: We will reject any application that proposes a budget exceeding the maximum amounts specified in the Maximum Awards chart.

Estimated Number of Awards: 6-10.

Note: The Department is not bound by any estimates in this notice.

Project Period: Up to 24 months.

Note: Budgets should be developed for a single award with a project period of up to 24 months.

No continuation awards will be provided.

### III. Eligibility Information

1. Eligible Applicants: LEAs located in counties in Louisiana, Mississippi, and Texas designated by the Federal Emergency Management Agency (FEMA) as counties eligible for individual assistance due to damage caused by Hurricanes Katrina, Ike, or Gustav.

For the convenience of applicants, the Department has posted lists of LEAs that are eligible to apply under this competition (organized by State). These lists are available on the Gulf Coast Recovery Grant Initiative Web site at: [www.ed.gov/programs/gulf/eligibility.html](http://www.ed.gov/programs/gulf/eligibility.html). These lists are based on the most recent information provided by each State and the Bureau of Indian Education to the Department. Although the lists attempt to identify all eligible applicants, it is possible that the lists are not exhaustive. Therefore, if an LEA believes it is eligible, but is not included on the lists, it should contact the person listed under For Further Information Contact in section VII of this notice to determine eligibility.

2. Cost Sharing or Matching: This competition does not require cost sharing or matching.

#### IV. Application and Submission Information

1. Address to Request Application Package: You can obtain an application package via the Internet at: [www.ed.gov/programs/gulf/applicant.html](http://www.ed.gov/programs/gulf/applicant.html), or by contacting April Bolton-Smith, U.S. Department of Education, 400 Maryland Avenue, SW., room 3E304, Washington, DC 20202-6200. Telephone: (202) 260-1475 or by e-mail: [gulfcoastrecovery@ed.gov](mailto:gulfcoastrecovery@ed.gov).

If you use a telecommunications device for the deaf (TDD), call the Federal Relay Service (FRS), toll free, at 1-800-877-8339.

Individuals with disabilities can obtain a copy of the application package in an accessible format (e.g., braille, large print, audiotape, or computer diskette) by contacting the program contact person listed in this section.

2. Content and Form of Application Submission: Requirements concerning the content of an application, together with the forms you must submit, are in the application package for this competition.

Notice of Intent to Apply: June 21, 2010.

Page Limit: The application narrative is where you, the applicant, address the selection criteria that reviewers use to evaluate your application. You must limit the application narrative to no more than 20 pages, using the following standards:

- A “page” is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides.
- Double space (no more than three lines per vertical inch) all text in the application narrative, including titles, headings, and quotations.
- Use a font that is either 12 point or larger or no smaller than 10 pitch (characters per inch).
- Use one of the following fonts: Times New Roman, Courier, Courier New, or Arial.

An application submitted in any other font (including Times Roman or Arial Narrow) will not be accepted.

The page limit does not apply to the cover sheet; the budget section, including the narrative budget justification; the assurances and certifications; the one-page abstract; or the appendices. However, the page limit does apply to all of the application narrative section.

We will reject your application if you exceed the page limit.

### 3. Submission Dates and Times:

Applications Available: May 27, 2010.

Deadline for Notice of Intent to Apply: June 21, 2010.

Deadline for Transmittal of Applications: July 9, 2010.

Applications for grants under this competition must be submitted electronically using the Electronic Grant Application System (e-Application) accessible through the Department's e-Grants site. For information (including dates and times) about how to submit your application electronically, or in paper format by mail or hand delivery if you qualify for an exception to the electronic submission requirement, please refer to section IV. 6. Other Submission

Requirements of this notice.

We do not consider an application that does not comply with the deadline requirements.

Individuals with disabilities who need an accommodation or auxiliary aid in connection with the application process should contact the person listed under For Further Information Contact in section VII of this notice. If the Department provides an accommodation or auxiliary aid to an individual with a disability in connection with the application process, the individual's application remains subject to all other requirements and limitations in this notice.

Deadline for Intergovernmental Review: September 7, 2010.

4. Intergovernmental Review: This competition is subject to Executive Order 12372 and the regulations in 34 CFR part 79. Information about Intergovernmental Review of Federal Programs under Executive Order 12372 is in the application package for this competition.

5. Funding Restrictions: We reference regulations outlining funding restrictions in the Applicable Regulations section of this notice.

6. Other Submission Requirements: Applications for grants under this competition must be submitted electronically unless you qualify for an exception to this requirement in accordance with the instructions in this section.

a. Electronic Submission of Applications.

Applications for grants under the Gulf Coast Recovery Grant Initiative--CFDA Number 84.215C must be submitted electronically using e-Application, accessible through the Department's e-Grants Web site at: <http://e-grants.ed.gov>.

We will reject your application if you submit it in paper format unless, as described elsewhere in this section, you qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions. Further information regarding calculation of the date that is two weeks before the application deadline date is provided later in this section under Exception to Electronic Submission Requirement.

While completing your electronic application, you will be entering data online that will be saved into a database. You may not e-mail an electronic copy of a grant application to us.

Please note the following:

- You must complete the electronic submission of your grant application by 4:30:00 p.m., Washington, DC time, on the application deadline date. E-Application will not accept an application for this competition after 4:30:00 p.m., Washington, DC time, on the application

deadline date. Therefore, we strongly recommend that you do not wait until the application deadline date to begin the application process.

- The hours of operation of the e-Grants Web site are 6:00 a.m. Monday until 7:00 p.m. Wednesday; and 6:00 a.m. Thursday until 8:00 p.m. Sunday, Washington, DC time. Please note that, because of maintenance, the system is unavailable between 8:00 p.m. on Sundays and 6:00 a.m. on Mondays, and between 7:00 p.m. on Wednesdays and 6:00 a.m. on Thursdays, Washington, DC time. Any modifications to these hours are posted on the e-Grants Web site.

- You will not receive additional point value because you submit your application in electronic format, nor will we penalize you if you qualify for an exception to the electronic submission requirement, as described elsewhere in this section, and submit your application in paper format.

- You must submit all documents electronically, including all information you typically provide on the following forms: the Application for Federal Assistance (SF 424), the Department of Education Supplemental Information for SF 424, Budget Information--Non-Construction Programs (ED 524), and all necessary assurances and certifications. You must attach any narrative sections of your application as files in a .DOC (document), .RTF (rich text), or .PDF (Portable Document) format. If you upload a file type other than the three file types specified in this paragraph or submit a password protected file, we will not review that material.

- Your electronic application must comply with any page limit requirements described in this notice.

- Prior to submitting your electronic application, you may wish to print a copy of it for your records.

- After you electronically submit your application, you will receive an automatic acknowledgment that will include a PR/Award number (an identifying number unique to your application).

- Within three working days after submitting your electronic application, fax a signed copy of the SF 424 to the Application Control Center after following these steps:

- (1) Print SF 424 from e-Application.
- (2) The applicant's Authorizing Representative must sign this form.
- (3) Place the PR/Award number in the upper right hand corner of the hard-copy signature page of the SF 424.

- (4) Fax the signed SF 424 to the Application Control Center at (202) 245-6272.

- We may request that you provide us original signatures on other forms at a later date.

Application Deadline Date Extension in Case of e-Application Unavailability: If you are prevented from electronically submitting your application on the application deadline date because e-Application is unavailable, we will grant you an extension of one business day to enable you to transmit your application electronically, by mail, or by hand delivery. We will grant this extension if--

- (1) You are a registered user of e-Application and you have initiated an electronic application for this competition; and

- (2) (a) E-Application is unavailable for 60 minutes or more between the hours of 8:30 a.m. and 3:30 p.m., Washington, DC time, on the application deadline date; or

- (b) E-Application is unavailable for any period of time between 3:30 p.m. and 4:30:00 p.m., Washington, DC time, on the application deadline date.

We must acknowledge and confirm these periods of unavailability before granting you an extension. To request this extension or to confirm our acknowledgment of any system



unavailability, you may contact either (1) the person listed elsewhere in this notice under For Further Information Contact (see VII. Agency Contact) or (2) the e-Grants help desk at 1-888-336-8930. If e-Application is unavailable due to technical problems with the system and, therefore, the application deadline is extended, an e-mail will be sent to all registered users who have initiated an e-Application. Extensions referred to in this section apply only to the unavailability of e-Application.

Exception to Electronic Submission Requirement: You qualify for an exception to the electronic submission requirement, and may submit your application in paper format, if you are unable to submit an application through e-Application because—

- You do not have access to the Internet; or
- You do not have the capacity to upload large documents to e-Application;

and

- No later than two weeks before the application deadline date (14 calendar days or, if the fourteenth calendar day before the application deadline date falls on a Federal holiday, the next business day following the Federal holiday), you mail or fax a written statement to the Department, explaining which of the two grounds for an exception prevents you from using the Internet to submit your application. If you mail your written statement to the Department, it must be postmarked no later than two weeks before the application deadline date. If you fax your written statement to the Department, we must receive the faxed statement no later than two weeks before the application deadline date.

Address and mail or fax your statement to: April Bolton-Smith, U.S. Department of Education, 400 Maryland Avenue, SW., room 3E304, Washington, DC 20202-6200. FAX: (202) 260-8969.

Your paper application must be submitted in accordance with the mail or hand delivery instructions described in this notice.

b. Submission of Paper Applications by Mail.

If you qualify for an exception to the electronic submission requirement, you may mail (through the U.S. Postal Service or a commercial carrier) your application to the Department. You must mail the original and two copies of your application, on or before the application deadline date, to the Department at the following address:

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.215C)  
LBJ Basement Level 1  
400 Maryland Avenue, SW.  
Washington, DC 20202-4260

You must show proof of mailing consisting of one of the following:

- (1) A legibly dated U.S. Postal Service postmark.
- (2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service.
- (3) A dated shipping label, invoice, or receipt from a commercial carrier.
- (4) Any other proof of mailing acceptable to the Secretary of the U.S. Department of Education.

If you mail your application through the U.S. Postal Service, we do not accept either of the following as proof of mailing:

- (1) A private metered postmark.
- (2) A mail receipt that is not dated by the U.S. Postal Service.

If your application is postmarked after the application deadline date, we will not consider your application.

Note: The U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, you should check with your local post office.

c. Submission of Paper Applications by Hand Delivery.

If you qualify for an exception to the electronic submission requirement, you (or a courier service) may deliver your paper application to the Department by hand. You must deliver the original and two copies of your application, by hand, on or before the application deadline date, to the Department at the following address:

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.215C)  
550 12th Street, SW.  
Room 7041, Potomac Center Plaza  
Washington, DC 20202-4260

The Application Control Center accepts hand deliveries daily between 8:00 a.m. and 4:30:00 p.m., Washington, DC time, except Saturdays, Sundays, and Federal holidays.

Note for Mail or Hand Delivery of Paper Applications: If you mail or hand deliver your application to the Department--

(1) You must indicate on the envelope and--if not provided by the Department--in Item 11 of the SF 424 the CFDA number, including suffix letter, if any, of the competition under which you are submitting your application; and

(2) The Application Control Center will mail to you a notification of receipt of your grant application. If you do not receive this grant notification within 15 business days from the application deadline date, you should call the U.S. Department of Education Application Control Center at (202) 245-6288.

V. Application Review Information

1. Selection Criteria: The maximum score for all of the selection criteria is 100 points. The maximum score for each criterion and factor is indicated in parentheses. The selection criteria for this competition are as follows:

(a) Need for the project. (40 points) The Secretary considers the need for the proposed project. In determining the need for the proposed project, the Secretary considers the following factors:

(i) The severity of the impact of the hurricane(s) on each school targeted for services under the project (10 points).

Note: In addressing this factor, applicants should consider including quantitative data, qualitative data, or both, on the status of each targeted school prior to the hurricane, as well as the impact of the hurricane(s) on each targeted school.

(ii) The magnitude of the need for the services to be provided or the activities to be carried out at each targeted school (10 points).

Note: In addressing this factor, applicants should consider including quantitative data, qualitative data, or both, highlighting the specific needs resulting from the impact of the hurricane(s).

(iii) The extent to which other sources of funds (including FEMA reimbursement, private insurance, other funds) are not available to meet the needs of the targeted schools (20 points).

Note: In addressing this factor, applicants should consider describing the financial resources needed for recovery efforts at each targeted school, and the extent to which current or future funding exists to meet these needs.

(b) Project design and services. (30 points) The Secretary considers the quality of the design of the proposed project and the proposed services. In determining the quality of the design and services, the Secretary considers the following factors:

(i) The extent to which the proposed project services will successfully address the needs of each targeted school (15 points).

Note: In addressing this factor, applicants should consider proposing services that focus on restoring the learning environment and that respond to the specific recovery needs of the targeted schools.

(ii) The likelihood that the services to be provided by the proposed project will lead to improvements in the achievement of students as measured against rigorous academic achievement standards (10 points).

Note: In addressing this factor, applicants should consider including an explanation of how the proposed recovery efforts will result in the increased academic achievement of students.

(iii) The extent to which the services to be provided by the proposed project involve the collaboration of appropriate partners in order to maximize the effectiveness of proposed project services (5 points).

Note: In addressing this factor, applicants should consider identifying how the proposed recovery efforts will be coordinated with other entities to meet the needs of the targeted schools.

(c) Project management. (30 points) The Secretary considers the quality of the management plan for the proposed project. In determining the quality of the management plan, the Secretary considers the following factors:

(i) The qualifications, including relevant training and experience, of key personnel (10 points).

(ii) The adequacy of the management plan to achieve the objectives of the proposed project on time and within budget (8 points).

(iii) The extent to which the management plan articulates clearly defined responsibilities and includes realistic timelines and milestones for accomplishing project tasks (5 points).

(iv) The extent to which the applicant has a sound financial management system, including effective internal controls, to administer the grant funds (7 points).

Note: In addressing this factor, applicants should consider including an overview of their financial management system, including how they maintain effective internal controls and fund-accountability procedures.

2. Review and Selection Process: Additional factors we consider in selecting an application for an award are in 34 CFR 75.217. These factors include the applicant's performance and use of funds under a previous award under any Department program.

## VI. Award Administration Information

1. Award Notices: If your application is successful, we notify your U.S. Representative and U.S. Senators and send you a Grant Award Notification (GAN). We may notify you informally, also.

If your application is not evaluated or not selected for funding, we notify you.

2. Administrative and National Policy Requirements: We identify administrative and national policy requirements in the application package and reference these and other requirements in the Applicable Regulations section of this notice.

We reference the regulations outlining the terms and conditions of an award in the Applicable Regulations section of this notice and include these and other specific conditions in the GAN. The GAN also incorporates your approved application as part of your binding commitments under the grant.

3. Reporting: At the end of your project period, you must submit a final performance report, including financial information, as directed by the Secretary. If you receive a multi-year award, you must submit an annual performance report that provides the most current performance and financial expenditure information as directed by the Secretary under 34 CFR 75.118. The Secretary may also require more frequent performance reports under 34 CFR

75.720(c). For specific requirements on reporting, please go to

[www.ed.gov/fund/grant/apply/appforms/appforms.html](http://www.ed.gov/fund/grant/apply/appforms/appforms.html).

4. Performance measure: Under the Government Performance and Results Act of 1993, the Department has developed the following performance measure for measuring the overall effectiveness of the Gulf Coast Recovery Grant Initiative: the percentage of grantees that successfully accomplish their project goals and objectives. The Department will collect data for this measure from grantees' final performance reports.

## VII. Agency Contact

For Further Information Contact: April Bolton-Smith, U.S. Department of Education, 400 Maryland Avenue, SW., room 3E304, Washington, DC 20202-6200. Telephone: (202) 260-1475 or by e-mail: [gulfcoastrecovery@ed.gov](mailto:gulfcoastrecovery@ed.gov).

If you use a TDD, call the FRS, toll free, at 1-800-877-8339.

## VIII. Other Information

Accessible Format: Individuals with disabilities can obtain this document and a copy of the application package in an accessible format (e.g., braille, large print, audiotape, or computer diskette) on request to the program contact person listed under For Further Information Contact in section VII of this notice.

Electronic Access to This Document: You can view this document, as well as all other documents of this Department published in the Federal Register, in text or Adobe Portable Document Format (PDF) on the Internet at the following site: [www.ed.gov/news/fedregister](http://www.ed.gov/news/fedregister). To use PDF you must have Adobe Acrobat Reader, which is available free at this site.

Note: The official version of this document is the document published in the Federal Register. Free Internet access to the official edition of the Federal Register and the Code of Federal Regulations is available on GPO Access at: [www.gpoaccess.gov/nara/index.html](http://www.gpoaccess.gov/nara/index.html).

Dated:

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Thelma Meléndez de Santa Ana,  
Assistant Secretary for Elementary  
and Secondary Education.



## **Program Statute**

The Gulf Coast Recovery Grant Initiative is authorized in the Consolidated Appropriations Act, 2010 (Pub. L. 111-117):

*Provided further*, That from the funds for subpart 1 of part D of title V of the ESEA, \$12,000,000 shall be for competitive awards to local educational agencies located in counties in Louisiana, Mississippi, and Texas that were designated by the Federal Emergency Management Agency as counties eligible for individual assistance due to damage caused by Hurricanes Katrina, Ike, or Gustav: *Provided further*, That such awards shall be used to improve education in areas affected by such hurricanes and shall be for such activities as replacing instructional materials and equipment; paying teacher incentives; modernizing or renovating or repairing school buildings; beginning or expanding Advanced Placement or other rigorous courses; supporting the expansion of charter schools; and supporting after-school or extended learning time activities.